

Strategic Risk Register

July 2022



Strategic Risk Profile

Risks are assessed based on *impact and likelihood* to gain an overall view of the significance of the risk's threat to the achievement of objectives. These are multiplied to give an overall score which is used to inform our response to the risk. The table below summaries the net score (after controls have been applied) for each risk including changes since the last update and a comparison with the target score.

Ref	Risk Title	June 2021 Score	September 2021 Score	December 2021 Score	March 2022 Score	July 2022 Score	Target Score	Net risk within target risk?
SR01	Finance	10 Medium	10 Medium	10 Medium	10 Medium	10 Medium	10 Medium	Yes
SR03	Asset management & maintenance	6 Low	6 Low	8 Medium	8 Medium	8 Medium	6 Low	No
SR04	Knowledge, capacity & culture	12 Medium	12 Medium	8 Medium	8 Medium	8 Medium	8 Medium	Yes
SR05	Technology	12 Medium	12 Medium	8 Medium	8 Medium	6 Low	6 Low	No
SR06	Information & data management	12 Medium	12 Medium	12 Medium	12 Medium	9 Medium	6 Low	No
SR07	Legal compliance, governance & ethics	6 Low	6 Low	6 Low	6 Low	6 Low	6 Low	Yes
SR08	Capacity of community partners	6 Low	6 Low	6 Low	6 Low	6 Low	6 Low	Yes
SR09	Health & Safety (incl. Staff Wellbeing)	12 Medium	12 Medium	12 Medium	12 Medium	9 Medium	6 Low	No
SR10	Emergency planning & severe weather events	12 Medium	12 Medium	9 Medium	9 Medium	9 Medium	9 Medium	Yes
SR11	Safeguarding	4 Low	8 Medium	4 Low	4 Low	4 Low	4 Low	Yes
SR12	Covid-19	8 Medium	8 Medium	8 Medium	8 Medium	8 Medium	8 Medium	Yes
SR13	Temporary Accommodation	12 Medium	12 Medium	12 Medium	12 Medium	12 Medium	12 Medium	Yes
SR14	Capital Projects	10 Medium	12 Medium	12 Medium	12 Medium	12 Medium	8 Medium	No
SR15	Net Zero	9 Medium	9 Medium	9 Medium	9 Medium	9 Medium	6 Low	No

The matrix below shows the Council’s overall risk profile, again based on net risk. The impact matrix which gives guidance on the definitions to be applied when considering impact is provided at the end of this document.

		Impact	Impact	Impact	Impact	Impact
		Minimal (1)	Minor (2)	Moderate (3)	Major (4)	Critical (5)
Likelihood	Very Likely (5)					
Likelihood	Likely (4)					
Likelihood	Possible (3)			SR06 SR15 SR09 SR10	SR13 SR14	
Likelihood	Unlikely (2)		SR11	SR05 SR07 SR08	SR03 SR04 SR12	SR01
Likelihood	Very Unlikely (1)					

The summary below maps each of the strategic risks to the Council Plan:

No.	Risk	Net Risk Rating	Value for Money	Keep the District Safe	Provide high quality services	Protect the Green Belt	Support and grow the local economy
01	Finance	10	✓	✓	✓	✓	✓
03	Asset management & maintenance	8	✓		✓		✓
04	Knowledge, capacity & culture	8	✓	✓	✓	✓	✓
05	Technology	6	✓	✓	✓	✓	✓
06	Information & data management	9	✓	✓	✓	✓	✓
07	Legal compliance, governance & ethics	6	✓	✓	✓	✓	✓
08	Capacity of community partners	6	✓	✓	✓		✓
09	Health & Safety (incl. Staff Wellbeing)	9	✓	✓	✓	✓	✓
10	Emergency planning & severe weather events	9	✓	✓	✓	✓	✓
11	Safeguarding	4		✓	✓		
12	Covid-19	8	✓	✓	✓	✓	✓
13	Temporary Accommodation	12	✓	✓	✓		
14	Capital Projects	12	✓		✓		✓
15	Net Zero	9		✓		✓	✓

Strategic Risk Register

The strategic risks are detailed below. Each risk has a lead officer who is best placed to co-ordinate the response to the risk.

Each risk is first assessed **gross** (without existing controls in place) and then re-assessed following the identification of key controls to give the **net** score. Each risk is also given a **target** score, which is the desired rating for the risk.

The overall **rating (R)** is derived by multiplying the **likelihood (L)** and the **impact (I)**.

Actions have been identified to further enhance controls where relevant.

Risk Factors	Potential Effect	Gross Score			Internal Controls	Net Score			Target Score		
		L	I	R		L	I	R	L	I	R
SR01: Finance - Failure to deliver a balanced budget Lead Officer: Adrian Rowbotham & Alan Mitchell											
<ul style="list-style-type: none"> Detrimental impact of Covid-19 on Council income and expenditure Limited opportunity to generate income through the business rates retention scheme and New Homes Bonus Effect of council tax referendum limits Low, decreasing and uncertain level of government grant Uncertainty of the timing and outcome of the Government spending and fair funding review Potential for negative government funding (local authority to make payments to Government) Effect of cost of external borrowing on the Council's budgets Loss of external funding 	<ul style="list-style-type: none"> Poor financial health Inability to maintain services and deliver Council Vision and Promises Requirement to issue S114 notice Reputational damage Negative impact on staff morale and potential recruitment and retention difficulties Poor outcome for the Audit of Accounts or Value for Money assessment Potential for increased intervention Reduced income or increased 	4	5	20	<ul style="list-style-type: none"> Self-sufficient budget position; no reliance on direct government funding Long term 10-year budget framework including Savings Plan Flexible use of reserves Alternative funding source - Property Investment Strategy Strong financial and scenario planning over the short, medium and long term Effective budget setting and financial monitoring processes embedded Financial and budget risk management process in place Effective financial governance including reports to FIAC, Cabinet, Audit Committee and Scrutiny Committee Qualified and experienced officers in post 	2	5	10	2	5	10

		Gross Score			Net Score			Target Score			
Risk Factors	Potential Effect	L	I	R	Internal Controls	L	I	R	L	I	R
<ul style="list-style-type: none"> Budget assumptions not accurate Ability to identify increase in savings requirement to deliver a balanced 10-year budget Failure to meet savings targets Poor financial plans and strategies Ineffective financial governance Lack of capacity and skilled professionals within the finance team Failure to maintain proper financial and budgetary controls Change in customer demand (eg car parking) and expectation Inflation Treasury management returns below expectations. Under performance of property investment assets (SDC & Quercus 7) 	<p>expenditure as a result of changing customer demands</p> <ul style="list-style-type: none"> Treasury management change in approach may result in higher volatility of returns Inflationary expenditure increases exceeding income and funding increases Reduced property investment strategy income 				<ul style="list-style-type: none"> 10-year balance sheet 3-year detailed cash flow Finance Procedure Rules in place (but see action below) 2022/23 early indications financial report to FIAC & Cabinet May 2022 Effective financial governance of property investment strategy including reports to FIAC, Cabinet and Scrutiny Committee Regular Quercus 7 Board and Trading Board meetings 						
<p>Actions</p> <p>Update Finance Procedure Rules (end December 2022)</p> <p>2022/23 monitoring and 2023/24 budget setting processes to consider new inflationary pressures</p>											
<p>Available Assurance</p> <ul style="list-style-type: none"> Internal Audit of Budget Monitoring reported December 2020 - substantial assurance Internal Audit of VAT reported March 2021 - Advisory but no significant issues raised Counter Fraud assessment - of 52 sections, 19 Compliant, 21 Partially Compliant, 12 Not Met Internal Audit of ten year budget process issued September 2021 - 'Reasonable' assurance External Audit of 2020/21 financial statements Internal Audit of corporate credit cards - Completed in October 2021 with 'Limited' assurance Internal Audit of Property Investment Strategy completed June 2022 with Reasonable assurance Ad hoc external consultants provide reports on state of the property markets Annual property investment valuation carried out by independent consultant, in line with CIPFA and RICS standards 											

Risk Factors	Potential Effect	Gross Scores			Internal Controls	Net scores			Target Scores		
		L	I	R		L	I	R	L	I	R
SR03: Asset Management & Maintenance - Losing the ability to: <i>a) Dispose of surplus land;</i> <i>b) Maintain and develop assets and land holdings;</i> <i>c) Secure tenants for vacant or part-vacant assets</i> Lead Officers: Adrian Rowbotham & Detlev Munster											
<ul style="list-style-type: none"> Lack of finance to deliver asset management plans and maintenance programmes Lack of capacity to appropriately manage, maintain and invest in the council's assets Failure to maximise the benefit from asset disposals Lack of tenants to occupy vacant or part-vacant assets Lack of buyers for surplus Council land Failure to adopt effective governance procedures Project management skills to ensure cost effective and robust developments Failure to identify partners to take forward projects and initiatives Loss of contracted providers to manage and operate assets Covid-19 / Economic conditions - ability to find or retain tenants, collect lease or rental income, reduction in asset values (systemic risk) Lack of suitable skills or sufficient capacity 	<ul style="list-style-type: none"> Decrease in asset values placing increased pressure on council budgets Failure to maximise the opportunity to raise income from investment in assets Increased insurance premiums Adverse impact on service delivery Loss of investment or income opportunities Reputational damage Closure of public assets and loss of community facilities Corporate Landlord liabilities associated with poorly maintained assets (tenants and corporate buildings) - cross refer to SR09 	3	4	12	<ul style="list-style-type: none"> Property / Asset Register (record of land in Council ownership) Asset maintenance budgets reviewed annually Ongoing strategic review of council owned property Inventory registers in place Financial procedure rules in place (but see action below) Economic Development & Property team in place Professional, external advisers engaged to support the development of strategies and fill skills and capacity gaps Capital Programme and Asset Maintenance 2019-22 plan in place Surveys of all Council buildings completed and reflected in Asset Maintenance plan Long term leases in place with providers with regular monitoring 	2	4	8	2	3	6

Risk Factors	Potential Effect	Gross Scores			Internal Controls	Net scores			Target Scores		
		L	I	R		L	I	R	L	I	R
<ul style="list-style-type: none"> Inadequate Property/Asset Register held by SDC and other statutory bodies 											
<p>Actions</p> <ul style="list-style-type: none"> Prepare and periodically review Asset Management Plan Financial Procedure Rules to be reviewed, Disposals Policy to be approved - Property procedure rules written and awaiting financial regs to be updated Update Asset Register - in progress and has become a higher priority due to ongoing issues being identified - Dec 2022 											
<p>Available Assurance</p> <ul style="list-style-type: none"> Internal Audit of Corporate Landlord Liabilities - Limited Assurance (July 2022) 											

Risk Factors	Potential Effect	Gross Score			Internal Controls	Net Score			Target Score		
		L	I	R		L	I	R	L	I	R
SR04: Knowledge, capacity & culture - Management of the Council's human resources fails to protect the Council's culture, making it difficult to address gaps in capacity and knowledge Lead Officer: Jim Carrington-West & Diana Chaloner											
<ul style="list-style-type: none"> Continuing reductions to Council budgets National and local pay constraint Increasing cost of living Inability to employ and retain high quality staff Increased demand for services and high levels of work with reduced capacity and resources Requirement for new skills to deliver the Council's Corporate Plan promises Lack of capacity within the Human Resources team to develop policy and support the workforce Ineffective succession planning High staff turnover Loss of IIP Platinum status Impact of Covid-19 on working practices and greatly increased working from home 	<ul style="list-style-type: none"> Lack of resources to employ, develop and support the wellbeing of staff Impact of poor mental health across the organisation Reduced morale and staff satisfaction Reduced productivity Reduced quality of staff and work / services Unable to recruit or retain high quality staff Increased absence levels Unable to continue to deliver the range and quality of services currently experienced Skills gaps that inhibit the ability to deliver Council projects Reputational damage as an employer and a service provider 	4	4	16	<ul style="list-style-type: none"> 10-year budget minimises the need for short notice changes to the workforce Recruitment and retention policies Managing Attendance Policy supported by return to work and staff wellbeing initiatives Staff Appraisal Scheme and Personal Development Plans further enhanced by the introduction of the Clear Review system Regular Staff Surveys and Investors in People Assessments to benchmark effectiveness as an employer Management and Staff Development programmes to support staff and protect the organisational culture Ability to engage professional, external advisers to support the organisation and fill skills and capacity gaps Investors in People Platinum status maintained (re-assessed in February 2019), demonstrating the Council is a high quality employer Re-evaluated HR strategies, training, development and retention plans and internal 	2	4	8	2	4	8

		Gross Score			Net Score			Target Score			
Risk Factors	Potential Effect	L	I	R	Internal Controls	L	I	R	L	I	R
					communications to address the post Covid working environment <ul style="list-style-type: none"> • Introduction of new Workforce strategy • New LMS launched • Training and support around financial planning and wellbeing package to support staff in coping with cost of living crisis 						
Actions											
<ul style="list-style-type: none"> • Investors In People assessment due January 2023 will highlight some of the benefits of working for Sevenoaks as well as enable us to address any gaps which could reduce the likelihood of this risk occurring 											
Available Assurance											
<ul style="list-style-type: none"> • Investors in People Platinum status (re-assessed February 2019) • Internal Audit of ten-year budget strategy reported September 2021 - 'Reasonable' assurance • Internal Audit of appraisals - completed in October 2021 with 'Reasonable' assurance • Internal Audit of HR Policy Compliance (Grievance, Probation and Disciplinaries) reported August 2020 - Substantial Assurance • Internal Audit compliance check of recruitment controls June 2021 - Substantial Assurance 											

		Gross Score						Net Score			Target Score		
Risk Factors	Potential Effect	L	I	R	Internal Controls	L	I	R	L	I	R		
SR05: Technology - The Council's Information Technology doesn't meet the needs of the Council, Members, Officers and the local community Lead Officer: Jim Carrington-West & Amy Wilton													
<ul style="list-style-type: none"> Lack of finance to effectively procure and develop IT infrastructure and solutions across the Council Lack of capacity and skilled professionals to procure, implement and develop IT infrastructure and solutions across the Council Failure to identify areas where IT solutions could improve service delivery and reduce costs Failure to implement robust IT security arrangements in existing and new infrastructure and software Failure to meet the demands of partnership working in the delivery of solutions and on-going IT support Poor data management preventing the implementation of new services User base may not have sufficient broadband to work from home 	<ul style="list-style-type: none"> Failure to effectively deliver Council services and objectives Failure to benefit from the service efficiencies good use of IT would deliver e.g. channel shift, demand management, digital services Failure to maximise the cost savings and value for money efficient use of IT would deliver Security lapse could compromise the Council IT network and render systems inoperable Data loss Reputational damage Failure to deliver projects within required timescales Failure to provide adequate day to day support to customers Failure to prioritise projects effectively as 	4	4	16	<ul style="list-style-type: none"> IT Security Policy Business Continuity Plan Disaster recovery plans in place Network security measures in place including firewall and access level controls Procurement practices in place within the IT Service Experienced staff in post Effective budget setting and financial monitoring processes embedded Officer groups in place to support progress of digital services Ability to work in office or to deploy applications via Citrix or RDS Ability to engage professional, external advisers to support the organisation and fill skills and capacity gaps Digital Strategy Core server infrastructure including back-up infrastructure area recently updated Wifi in the building recently improved 	2	3	6	2	3	6		

Risk Factors	Potential Effect	Gross Score			Internal Controls	Net Score			Target Score		
		L	I	R		L	I	R	L	I	R
	financial resources reduce										
Actions <ul style="list-style-type: none"> Review Disaster Recovery plans - envisaged to be implemented October 2021 - delayed due to project in place to replace core infrastructure - will be looking at DR Plans Q1 2022/23 IT Security Policy due to be reviewed Disaster Recovery Policy due to be reviewed 											
Available Assurance <ul style="list-style-type: none"> Internal Audit of Cyber Security reported February 2021 - Limited assurance Internal Audit of IT Governance - in 2021/22 Audit Plan LGA Cyber Security Review 											

		Gross Score			Net Score			Target Score			
Risk Factors	Potential Effect	L	I	R	Internal Controls	L	I	R	L	I	R
SR06: Information & Data Management - Failure to properly protect, preserve and make best use of the data and information resources that the Council holds Lead Officer: Jim Carrington-West & Martin Goodman											
<ul style="list-style-type: none"> Lack of capacity or skills within the workforce to implement a knowledge management system Lack of IT capacity to support a knowledge and information management system Ensuring compliance with the requirements of the Code of Connection Ensuring security levels are appropriate to protect data and information without preventing effective and efficient service delivery Breach / non-compliance with General Data Protection Regulations (GDPR) 	<ul style="list-style-type: none"> Breach of regulations and potential for significant financial penalties Impact on residents / customers Failure to meet the Council's objectives Failure to continue to deliver high quality services across the Council Increased costs from recruitment and staff training Negative impact on the organisation's culture and on staff morale Reputational damage 	4	5	20	<ul style="list-style-type: none"> Ability to engage professional, external advisers to support the organisation and fill skills and capacity gaps Data Protection policies in place and available to all staff Training for all staff on Data Protection IT policies in place Annual assessment against the Code of Compliance Disaster recovery plans in place Business Continuity Plan in place Information Governance Policy endorsed by SMT Digital strategy Actions from Cyber Security Audit implemented Core IT infrastructure recently updated 	3	3	9	2	3	6
Actions <ul style="list-style-type: none"> Review Disaster recovery plans - new DR solution expected to be implemented October 2021 - delayed due to project in place to replace core infrastructure - will be looking at DR Plans Q1 next year Improvements to data back-up in progress as a result of funding from DLUC 											

		Gross Score						Net Score			Target Score		
Risk Factors	Potential Effect	L	I	R	Internal Controls	L	I	R	L	I	R		
<p>Available Assurance</p> <ul style="list-style-type: none"> • Internal Audit of Cyber Security reported February 2021 - Limited assurance • LGA review of cyber security • Annual penetration testing - covered with LGA review as above • Annual assessment against Code of Compliance - <i>frequency TBC - may not take place, DL to confirm</i> • Monitoring Officer monitors compliance with DP training using system reports • Internal Audit of Information Security recently completed with Reasonable assurance 													

Risk Factors	Potential Effect	Gross Scores			Internal Controls	Net Scores			Target Scores		
		L	I	R		L	I	R	L	I	R
SR07: Legal compliance, governance & ethics - Failure to recognise and adapt to changes in legislation and to deliver proper governance, scrutiny and internal control to protect the Council from poor practice and mismanagement Lead Officer: Jim Carrington-West & Martin Goodman											
<ul style="list-style-type: none"> Lack of capacity in the workforce to identify and adhere to legislative changes Lack of finance to adjust to changes in legislation Lack of Member or Senior Management support to deliver service changes in response to new legislation Breakdown in relationships between Members and Officers Lack of capacity and skilled professionals within the Legal, Democratic and Internal Audit teams Lack of financial resources to deliver high quality governance arrangements Governance arrangements which may not provide effective oversight of shared service arrangements Lack of skills and resources to provide Counter-Fraud and Corruption service Ineffective support for Councillors in relation to governance, legal compliance and ethics Procurement undertaken outside of / in breach of the Rules 	<ul style="list-style-type: none"> Failure to fulfil statutory duties resulting in government intervention and an increase in legal liabilities Failure to continue to deliver high quality services Increase in customer complaints and falling satisfaction levels Increase in incidences of fraud and error Failure to maximise the opportunities changes to legislation may bring Ineffective political and management leadership Ineffective scrutiny of decision making and performance Failure to deliver statutory requirements including an up to 	3	4	12	<ul style="list-style-type: none"> Dedicated in house Legal team with qualified and experienced officers in place Professional managers within service areas (Council-wide) Council's Constitution including Codes of Conduct, Officer / Member Protocol and Standards regime Cabinet and Committee Structure including Advisory, Governance, Audit, Scrutiny & Standards Committee's Monitoring Officer and Section 151 officers in post Effective budget setting and financial monitoring processes embedded Annual review of Committee Terms of Reference Members Handbook and Training Annual Governance Statement and action monitored and plan reported to Audit Committee Risk management framework recently updated 	2	3	6	2	3	6

Risk Factors	Potential Effect	Gross Scores			Internal Controls	Net Scores			Target Scores		
		L	I	R		L	I	R	L	I	R
	date constitution, an effective Internal Audit function and an Annual Governance Statement <ul style="list-style-type: none"> • Reputational damage 										
Actions <ul style="list-style-type: none"> • 											
Available Assurance <ul style="list-style-type: none"> • Internal Audit of Members Allowances and Expenses reported September 2021 - Substantial assurance • Internal Audit review of AGS returns - comments returned to s151 officer but some areas for development identified • Internal Audits of Procurement and Contract Management 2019/20 and 2020/21 - Advisory but several areas for development identified (see actions above) • Internal Audit of Legal Case Management System given limited assurance • Internal Audit of 10-year budget strategy complete - 'Reasonable' assurance • Fraud Risk Assessment to be undertaken 2022/23 (IA & CF Managers) • Internal Audit of IT Governance due in Q4 2021/22 											

Risk Factors	Potential Effect	Gross Scores			Internal Controls	Net Scores			Target Scores		
		L	I	R		L	I	R	L	I	R
SR08: Capacity of Community Partners - The impact of austerity and reduced public spending on the workloads and budgets of community partners and the voluntary sector Lead Officer: Sarah Robson											
<ul style="list-style-type: none"> • Reductions in Government funding of partners such as housing, health, leisure, Police and Fire & Rescue services • Increased demand on partner resources and services as a result of Covid-19 and rising cost of living, against historic reductions in government funding • Changes to the way Government grant is distributed inhibiting the delivery of local priorities e.g. health funding • Reductions in Council grant constraining the funding available for community grants • Reduction in the number of voluntary sector organisations operating in the District as a result of funding difficulties or lack of willing volunteers 	<ul style="list-style-type: none"> • Unable to deliver the priorities and actions set out in the Community Plan, Community Safety Action Plan and Health Action Plan • Unable to deliver on the priorities and actions set out in the Council's health and housing strategies • Increased hardship in the District • Loss of partner organisations and assistance in the District • Greater health inequalities across the District 	3	3	9	<ul style="list-style-type: none"> • Robust budget setting processes in place which consider the benefits of the Council's community grant scheme and Service Level Agreements • Representation on the Kent and Medway Vulnerable Communities recovery meetings • Continue regular interaction with advisers at the DLUHC • COVID-19 Communities and Economy Recovery Plans adapted and being delivered • Internal and external working groups established to address financial hardship • Ability to attract external funding to sustain community projects • Strong relationships with local community and voluntary groups • Community Awards Scheme to celebrate the success of local residents and community projects and promote the benefits of volunteering • Local Strategic Partnership delivery of the Community Plan, supported by the Community Wellbeing Fund funding local organisations 	2	3	6	2	3	6

Risk Factors	Potential Effect	Gross Scores			Internal Controls	Net Scores			Target Scores		
		L	I	R		L	I	R	L	I	R
					and initiatives responding to the impact of Covid-19 <ul style="list-style-type: none"> • Local Strategic Partnership for the District • Robust monitoring process in place for Service Level Agreements and Grants to ensure outcomes are being achieved. Processes and controls under review. • Voluntary Sector Forum for the District • Partnership Agreement in place and monitored with West Kent Housing Association • Funding Agreement with Kent Public Health to deliver One You programme in the district to address health inequalities. 						
Actions											
None											
Available Assurance											
<ul style="list-style-type: none"> • Internal Audit consultancy review of Community Grants reported September 2021 • Four monthly voluntary sector barometer check survey 											

Risk Factors	Potential Effect	Gross Scores			Internal Controls	Net Scores			Target Scores		
		L	I	R		L	I	R	L	I	R
SR09: Health & Safety - Breach / non-compliance with Health & Safety legislation and practices resulting in harm to workforce											
Lead Officer: Jim Carrington-West and Nick Chapman and Trevor Kennett											
<ul style="list-style-type: none"> • Ineffective or lack of Health and Safety Policy, guidance and training for staff • Ineffective controls for the management of Health and Safety • Ineffectiveness of health and safety risk assessments • Lack of awareness of health and safety controls and practices at work • Lack of capacity and skills to ensure continuous provision of high quality health and safety in the work place • Property standards decline • Threats posed by the pandemic - both in the office and - how we use everything • Increased home working as a result of hybrid working - equipment and facilities - staff not have equipment to work from home • 	<ul style="list-style-type: none"> • Poor working practices • Increased absence from work • Work place accidents and near misses • Health and Safety Executive inspections and fines • Reputational damage as a service provider and as an employer • Corporate Manslaughter • Financial impact • Non-compliance with statutory requirements 	4	5	20	<ul style="list-style-type: none"> • Health and Safety Policy regularly updated • Health and Safety guidance • Health and Safety risk assessments • Regular review and monitoring of risk assessments and safe working practices • Health and Safety training • Health and well-being monitoring including sickness monitoring • Accident recording, monitoring and action planning • Suitably trained officers undertake H&S risk assessments • Occupational health service • Corporate Health and Safety update reported to SMT quarterly • Staff wellbeing (Health, Safety and Security) is a standing item on the SMT agenda. • The Action Manager (TAM) health and safety management system for Direct Services • Depot health and safety handbook 	3	3	9	2	3	6

		Gross Scores			Internal Controls			Net Scores			Target Scores		
Risk Factors	Potential Effect	L	I	R	Internal Controls			L	I	R	L	I	R
					<ul style="list-style-type: none"> Corporate H&S Group has been refreshed with new ToR 								
<p>Actions</p> <p>Review Health and Safety framework and arrangements as a whole including consideration of actions from the IA H&S audit - <i>vacant post in structure with Health and Safety focus which will pick up ongoing review and update of framework</i></p> <p><i>Reviewing the H&S policy, risk assessment approach</i></p> <p><i>Also considering the purchase of a H&S admin system</i></p>													
<p>Available Assurance</p> <ul style="list-style-type: none"> HSE Covid-19 inspection - confirmed arrangements in place are robust for Covid Internal Audit consultancy review against HSE checklist - 28 areas generally compliant, 13 partially compliant, 5 not met Internal Audit of Fleet Management reported March 2021 - substantial assurance Internal Audit of Tree Maintenance - Advisory but no significant issues identified Internal Audit of Staff Wellbeing currently underway Ongoing review of C-19 risk assessment - last iteration signed off by SMT w/c 27th September 													

Risk Factors	Potential Effect	Gross Scores			Internal Controls	Net Scores			Target Scores		
		L	I	R		L	I	R	L	I	R
SR10: Emergency planning & severe weather events - Ability to respond effectively in the event of a prolonged major incident while maintaining the ability to keep services running Lead Officer: Adrian Rowbotham & Trevor Kennett											
<ul style="list-style-type: none"> Inadequacy of emergency plan & business continuity plans Inability to appropriately implement emergency plans in response to any given event Lack of capacity or specialist skills within the workforce to co-ordinate and respond to a major emergency Insufficient controls for major emergency hazards Security - responding to national threat levels (move to critical plans within the major) emergency plan Insufficient resilience in the face of a long-term event Multiple successive and/or simultaneously occurring events i.e. EU exit, Covid and a severe weather event 	<ul style="list-style-type: none"> Disruption to the community and to community services Inability to maintain Council services Excessive non-recoverable expenditure on response Loss of Council information Reputational damage Inability to adequately respond to multiple occurring events either separately or concurrently Insufficient staffing capacity to deal with a long term and/or major /or concurrent event(s) 	3	4	12	<ul style="list-style-type: none"> Cohort of trained officers on rota to formulate and co-ordinate the Council's emergency response (In place with a cohort of 8 trained senior managers on an 8 week on-call rota but see action below) District Major Emergency Plan (including BCP) in place (but see action below, currently being reviewed and updated) The Action Manager (TAM) to co-ordinate response effectively including documentation IT Disaster Recovery Plan in place (but see action below, currently being updated) Collaborative arrangements and plans agreed with other Category 1 and 2 responders, Town and Parish Councils, the voluntary sector and others Access to support resources from across the Council, including Direct Services Council is a member of the Kent Resilience Forum which gives access to expertise and resources Business continuity impact assessments undertaken identifying priority services Mutual aid provision via CCA 	3	3	9	3	3	9

Risk Factors	Potential Effect	Gross Scores			Internal Controls	Net Scores			Target Scores		
		L	I	R		L	I	R	L	I	R
Actions											
<ul style="list-style-type: none"> Review of DEC, Training, procedures to commence in April - <i>Training reviewed and courses underway for specialist officers. DEC being reviewed by consultant, new handbook in draft</i> Training of additional officers and to cover more roles - <i>In progress</i> Review MEP (from April 21) - <i>In place (v13) currently being reviewed and updated by consultant, v15 is a major update and draft should be available in January</i> Review of Disaster Recovery Plans - <i>New solution estimated to be in place Quarter 1 2022/23</i> 											
Available Assurance											
<ul style="list-style-type: none"> Internal Audit of Covid-19 response (reported December 2020) - Substantial assurance, but some medium priority actions for emergency planning Internal Audit of Emergency Planning - Substantial assurance (September 2022) 											

Risk Factors	Potential Effect	Gross Scores			Internal Controls	Net Scores			Target Scores		
		L	I	R		L	I	R	L	I	R
SR11: Safeguarding - Failure to identify and act on a Safeguarding concern											
Lead Officer: Sarah Robson & Jim Carrington-West											
<ul style="list-style-type: none"> Failure by the organisation or a member of staff to take action to refer a child or vulnerable adult to the appropriate agency when we become aware that they may be at risk Failure to provide staff training and awareness of the organisation's safeguarding duties and processes Increased interaction with potentially vulnerable children and adults Reductions or loss of resources, capacity and knowledge / expertise 	<ul style="list-style-type: none"> Could result in domestic homicide, suicide or other death, injury or continuing neglect, continuing modern slavery, human trafficking, terrorism Damage to public confidence and Council reputation 	3	4	12	<ul style="list-style-type: none"> Safeguarding Policy to be reviewed annually. Latest update 2022. Designated Safeguarding Officers trained every 2 years (June 2021 most recent) SMT safeguarding training annually, online staff training launched by the HR team. DBS checks in place for relevant staff Promotion of safeguarding to all staff through posters, Safeguarding newsletters and Grapevine Simple internal reporting arrangements in place for staff to report safeguarding issues A corporate Safeguarding Group to continually review and update policy and processes, and monitor strategic risk. Terms of Reference for the Group were reviewed and updated in October 2021 Workload management process and analysis kept up to date to ensure staff capacity to respond Staff trained as trainers Trained Designated Safeguarding Officers Frontline staff training undertaken in March and April 2022 New online referrals system to go live in 2022 Lead Chief Officer reports regularly to SMT Deputy Lead is also a Chief Officer Annual Section 11 Audits and assessments to provide external assurance Good working relationship with KCC and the Kent Safeguarding Boards 	1	4	4	1	4	4

		Gross Scores						Net Scores			Target Scores		
Risk Factors	Potential Effect	L	I	R	Internal Controls	L	I	R	L	I	R		
					<ul style="list-style-type: none"> Safeguarding awareness included into the staff 'new starter' induction process. Safeguarding added as a standing agenda item to Procurement Working group and procurement guidance provided Launching a Staff Domestic Abuse policy Community Safety Partnership round table discussion for domestic abuse resulting in 12 month action plan. 								
Actions													
<ul style="list-style-type: none"> Safeguarding Group Terms of Reference reviewed and approved by SMT in October 2021. COMPLETE Safeguarding Policy reviewed and update. Being present for Council approval in early 2022. Complete Online referrals system being procured in partnership with KCC and 12 district/borough councils in Kent - due to go live imminently Designated safeguarding officers training being held in June 2021 - COMPLETE and added to controls above Reviewed external contracts to have a section on Safeguarding responsibilities - COMPLETE Managers and frontline staff safeguarding training completed in November/December 2021 - COMPLETE E-learning training programme being developed by HR for all staff and due to go live in early 2022. Complete Launch a task and finish group for violence against women and girls in October 2022 													
Available Assurance													
<ul style="list-style-type: none"> Internal Audit of Safeguarding issued November 2021 with Limited assurance Annual Section 11 Audit - last undertaken November 2020 Check with Sarah Kent and Medway Safeguarding Adults Board self-assessment framework completed June 2022 													

Risk Factors	Potential Effect	Gross Scores			Internal Controls	Net Scores			Target Scores		
		L	I	R		L	I	R	L	I	R
SR12: Covid-19 - impact on SDC - The impact of the current pandemic on the ability to operate the Council effectively and to continue to provide services to residents and businesses Lead Officers: SMT											
<ul style="list-style-type: none"> Ability to provide a Covid-secure work environment Loss of staff through illness, self-isolation and shielding Impact on suppliers and partners Impact on Council finances and budgets Increased needs of residents and demands on services Managing new responsibilities to support residents and businesses Changing customer behaviour changes service demand Impact of new variants 	<ul style="list-style-type: none"> Loss of staff essential to the provision of services Temporary closure of council offices Temporary pause on Council services Insufficient budget to maintain all services Interruptions to supply chain causing disruption to services Insufficient resources to meet increased demand for new or existing services 	3	5	15	<ul style="list-style-type: none"> Representation on Kent Resilience Forum's SCG meeting to ensure latest Government and county guidance is disseminated. Ongoing engagement with partner organisations and groups e.g. Community Safety Partnership and Local Strategic Partnership Covid-19 Health and Safety Policy to implement and sustain a Covid-secure work environment in place and regularly reviewed Covid-19 health and safety risk assessments in place and regularly reviewed Business Continuity Plans in place to prioritise service delivery and allocation of council resources Tested and effective home working arrangements in place Flexible working practices adopted to assist colleagues with national or local measures such as school closures Increased cleaning and hygiene protocols and practices implemented 10 year budget in place, with effective budget monitoring to address short term impact on council finances Ability to seek alternative suppliers in the event of disruption to supply chains Effective use of technology to enable the continuation of officer and Member aspects of the organisation Prioritisation of Council services and consequent ability to redeploy resources Ability to bid for extra funding eg Leisure Fund 	2	4	8	2	4	8

Risk Factors	Potential Effect	Gross Scores			Internal Controls	Net Scores			Target Scores		
		L	I	R		L	I	R	L	I	R
					<ul style="list-style-type: none"> Scrutiny Committee Working Group looking at Covid-19 response 						
Actions None											
Available Assurance <ul style="list-style-type: none"> Internal Audit of Covid-19 Response and Recovery reported December 2020 - Substantial Assurance HSE Covid-19 inspection - robust arrangements in place Internal Audit of Covid-19 grant funding ongoing in 2021/22 											

Risk Factors	Potential Effect	Gross Scores			Internal Controls	Net Scores			Target Scores		
		L	I	R		L	I	R	L	I	R
SR13: Temporary Accommodation - Inability to effectively manage the volume of people presenting themselves as homeless and the additional pressures placed on the homeless budgets. Lead Officers: Sarah Robson											
<ul style="list-style-type: none"> Changes in government funding Rising numbers of placements Impact on Council finances Increase in Covid-19 or rising cost of living related homelessness Increase in homelessness arising from the homes for Ukraine Scheme 	<ul style="list-style-type: none"> Failure to fulfil statutory obligations Impact on life chances and outcomes for individuals and families in temporary accommodation Increased risk of legal challenge due to provision of unsuitable accommodation (including shared accommodation) Pressure on other services 	4	4	16	<ul style="list-style-type: none"> Restructure of Housing Team completed. Temporary Accommodation Action Plan in place for the Housing team. Use of DLUHC's annual Homelessness Prevention Grant to the organisation to prevent homelessness and support costs for temporary accommodation. Focus on preventing homelessness and diversion to alternative housing options through: <ul style="list-style-type: none"> - Launch of Xantura early intervention online prevention tool - Launch of Help to Let Scheme <ul style="list-style-type: none"> - Landlord and Tenancy advice, support and sustainment - Assistance, (including financial aid) to access the private rented sector - Access to employment and training - Debt, money, budgeting and welfare benefits advice, including assistance to resolve rent and mortgage arrears - Effective contract monitoring arrangements to ensure acceptable quality of service provision and value for money Family incentive and mediation support to prevent homelessness and retain individual in the family home <ul style="list-style-type: none"> - Implementation of the Quercus Housing Business Plan to ensure the supply reduces the reliance on nightly paid accommodation 	3	4	12	3	4	12

Risk Factors	Potential Effect	Gross Scores			Internal Controls	Net Scores			Target Scores		
		L	I	R		L	I	R	L	I	R
					<ul style="list-style-type: none"> - Implementing the Homelessness Strategy - Incentive campaign 'Help to Let' for private sector landlords embedded and benefits being realised • Voluntary Relocation scheme. • Implementation of the Quercus Housing Business Plan to ensure the supply reduces the reliance on nightly paid accommodation. • Refreshing the Housing Strategy, with Council approval in 2022 • Implementing the Housing Strategy and Homelessness Strategy • Communications plans in place to promote good news stories and initiatives (InShape, social media). • Work with Housing Associations and temporary accommodation providers to secure additional accommodation units within the district. 						
Actions											
Housing Strategy being reviewed and updated											
<ul style="list-style-type: none"> • Refresh the Housing Allocations Scheme July 2022 • Deliver the Rough Sleeper Initiative funding action plan over the next three years • Bring Housing Register shortlisting in-house by November 2022 • Deliver the Rough Sleeping Accommodation program funding by launching 2 new housing schemes with West Kent Housing Association (Vine Court Road and Orchards Close) July 2022 											
Available Assurance											
Internal Audit of Temporary Accommodation currently underway											
Monthly Homelessness Data Report to SMT and Cabinet Members											

		Gross Scores						Net Scores			Target Scores		
Risk Factors	Potential Effect	L	I	R	Internal Controls	L	I	R	L	I	R		
SR14 - Capital projects - not delivered to time, budget or quality Lead Officer: Adrian Rowbotham & Detlev Munster													
<ul style="list-style-type: none"> Lack of available funding to deliver planned schemes Ambitions do not align to viability or lack of consensus Lack of capacity to deliver capital projects (resources and skills available within the organisation) at all stages from initiation to completion Schemes go over budget Risk appetite is averse and opportunities are missed Schemes are progressed at the expense of asset maintenance programme Higher than assumed inflation levels Significant market volatility resulting in systemic risk 	<ul style="list-style-type: none"> Projects do not progress as planned Projects go over budget meaning that resources are diverted from other areas Delays to starting schemes Reputational damage if projects delayed or part completed Increased revenue impact could result in an unbalanced 10-year budget Projects may need to be re-prioritised and placed on hold at appropriate stages. 	3	5	15	<ul style="list-style-type: none"> Strategic Property Team in place and augmented depending on type of scheme presented Project Management and governance protocols in place Pre-feasibility and due diligence investigation undertaken prior to commitment of funds Capital programme set annually, approved by full council Bidding process for projects on capital plan Corporate / Strategic Programme Board - monitoring including viability reviews for individual projects Augment team with external specialist consultants (as necessary) Commence discussions with local Planning Authority as soon as possible Commence early consultation with key interested and affected parties Review of lessons learned logs from previous projects Revised schemes to be approved by Members A detailed capital programme process 	3	4	12	2	4	8		

		Gross Scores						Net Scores			Target Scores		
Risk Factors	Potential Effect	L	I	R	Internal Controls	L	I	R	L	I	R		
Actions													
<ul style="list-style-type: none"> • Investigate viability and funding options, currently looking at different delivery models - in progress • Investigate appropriate project insurance - ongoing on a scheme by scheme basis • Continue to check on lessons learned from previous projects - ongoing • Looking at ways to cap and collar inflationary pressures being done on case by case basis through shadowing exercises and adjusting procurement exercises - ongoing 													
Available Assurance													
All projects have external consultants to provide reports which inform decision making.													

		Gross Scores						Net Scores			Target Scores		
Risk Factors	Potential Effect	L	I	R	Internal Controls	L	I	R	L	I	R		
SR15 - Net Zero 2030 - Failure to achieve carbon neutral													
Lead Officer: Richard Morris													
<ul style="list-style-type: none"> Technology does not sufficiently advance to allow the Council to replace fleet Technology is too expensive to allow the Council to replace fleet Cost of work to Council assets (prohibitive) Retrofitting of assets not technically feasible Delay in delivering actions and projects beyond 2030 Lack of adequate funding 	<ul style="list-style-type: none"> Reputational damage Environmental enhancements not achieved Political impact Financial impact on 10-year budget Inability to sufficiently fund schemes 	4	4	16	<ul style="list-style-type: none"> Cross Member Working Group Officer Working Group Monitoring and political oversight Training and skills development through best practice groups Net Zero fund Net Zero Action Plan has been agreed by Members Progress against actions is monitored by Cleaner & Greener Committee quarterly 	3	3	9	2	3	6		
Actions													
Net Zero Action Plan													
Preparation of carbon reduction plan													
Available Assurance													
Net Zero 2030 a standing agenda item on Cleaner and Greener Portfolio briefings and Advisory Committee													
Net Zero Internal Audit due 2022/23													

Strategic Risk Radar

Long-term horizon scanning allows us to be aware of key risks which are, as yet, too uncertain to assess or quantify. By keeping our eye on and tracking these issues we are able to draw them down into the strategic risk register when the timing is right. Having a longer-term view of strategic risk also enables us to be aware of local, sector-wide and even global issues. The bullet points below shows some of issues we are keeping on our radar.

2022/23

- Climate Change
- Legislation Changes
- Regeneration Projects
- Cost of living
- Inflation
- Ukraine war
- Political change
-

2023+

- Aging Population
- Advancing Technologies
- Infrastructure
- Impact of KCC's budget cuts on SDC
- Business Rates Retention
- Regional reorganisation

Sevenoaks Impact Matrix

	Financial	Service Delivery & Capability	Reputation	Legal & Regulatory	People & culture
Impact Headings	<i>Relating to uncontrolled expenditure or loss of income</i>	<i>Relating to operational delivery of services / objectives</i>	<i>May cause harm to public confidence or embarrassment</i>	<i>Related to breaches of law, rules or governance</i>	<i>May impact negatively on our workforce, culture or values</i>
Critical (5)	Uncontrolled financial losses in excess of multiple £m's	Failure to deliver <i>statutory</i> service / service disruption for >14 days	National adverse publicity perceived as failing in a significant area of responsibility	Breach of law, regulations leading to significant sanctions Breakdown of governance / internal control resulting in fraud	Significant staff dissatisfaction / increased long term absence & staff turnover Loss of culture and value framework
Major (4)	Uncontrolled financial losses in excess of £1m+ overspend in budget by >£1m+	Unable to deliver <i>discretionary</i> service / service disruption for >14 days	Sustained negative local media attention & damage to public confidence	Breach of law or regulation leading to some sanction Breakdown of internal controls open to abuse	Adverse staff dissatisfaction / likely increased absence and turnover of staff Negative impact on culture & value framework
Moderate (3)	Uncontrolled financial losses between £500k - £1m / overspend in budget by >£500k	Unsatisfactory service performance / service disruption of >5 days	Isolated negative local publicity	Breach of regulation or internal standard (limited sanctions) Isolated internal control weaknesses	Declining staff dissatisfaction Isolated instances of behaviours outside of value framework
Minor (2)	Uncontrolled financial losses between £100k - £500k / overspend in budget by >£100k	Reduced service delivery / service disruption for 7 hours	Local publicity, but manageable through communication channels	Breach of internal policies Internal controls partially effective	Isolated areas of staff dissatisfaction / likely impact on absence and turnover
Minimal (1)	Uncontrolled financial losses less than £100k / overspend in budget less than £100k	Disruption managed within normal day to day operations	Unlikely to cause adverse publicity	Breaches of internal procedures / working practices	Loss of staff morale but unlikely to result in absence or turnover of staff

