

Dover District Council Corporate Risks – March 2022

Ref	Risk	Impact	Likelihood	Management Action	Residual Risk	Owner
1.	The impact of reduced Government funding results in a lack of sufficient financial resources which impacts on service provision and the capital programme	High	Medium	<p>Maximise the resources available from Business Rates through supporting economic development, maximising EZ relief and managing the relationship with the Kent BR pool.</p> <p>Responding to the on-going "Fair Funding Review" consultations.</p> <p>Lobby to replace the outgoing NHB with a comparable scheme.</p> <p>Maintain the Council's financial and investment strategy to optimise the prudent use of current reserves and cashflow to generate income while protecting capital.</p> <p>The ability to use Digital Service Reviews when required to improve current efficiencies and to determine other appropriate longer-term strategies. Use of advisors to monitor the position and lobby government as required.</p> <p>The MTFP requires that no new capital projects are added unless they are self-financing, funds are available or other projects are cancelled.</p> <p>A full range of financial risks are included in the budget and Cabinet have been briefed on the anticipated financial pressures for future years, although there is a high degree of uncertainty in medium term projections.</p>	High	Strategic Director (Corporate Resources)
2.	Volatility of funding from Business Rates results in unexpected reductions in resources for the Council	High	High	<p>The projections of future BR income, and assumptions around the impacts of appeals and bad debts, have been made on a prudent basis to minimise the impact of any reduction in BR income and reserves will be used to smooth out volatility where possible.</p>	High	Strategic Director (Corporate Resources)

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				<p>The current BR regime is unstable, and Government's plans are unclear.</p> <p>The Council continues to engage proactively with the DLUHC and CIPFA to try and ensure the accounting and resourcing adjustments and the resource allocations from the new system are made on a reasonable basis for Dover</p>		
3.	Introduction of Universal Credit and new benefit limits may create additional workloads and cause adverse publicity for the Council and may affect performance and viability of Civica and collection of rents	High	High	<p>UC is now being fully rolled out in the Dover District.</p> <p>The impact of UC includes significant increases in DDC housing tenant arrears which increases the risk of a higher write-off rate.</p>	High	Strategic Director (Corporate Resources)
4.	Increased homelessness and demand for social housing	High	High	<p>This is a demand led service, with peaks and troughs. The level of demand and the duties of the Council are being increased by the impacts of the Homelessness Reduction Act and Universal Credit.</p> <p>The Council is increasing the stock of affordable housing in the district. Alternatives to B&B and nightly paid accommodation are also being purchased / developed for those accepted as homeless and B&B accommodation, where required, is being purchased at lower nightly costs. Those in B&B are also pro-actively managed to reduce the average length of stay and the costs to the Council.</p>	High	Strategic Director (Corporate Resources)
5.	Resilience and capacity - As a small lean Council with pressure to do more, there is a resultant lack of resilience which could give rise to a shortage of appropriate resources and key skills to provide an adequate level of services. An expanding capital and project	High	High	<p>Staffing levels have now stabilised. Corporate reviews ensure that the finite resources are effectively used to maintain key services to an adequate standard. The Employment Management process helps support the effective use of finite resources.</p> <p>Proposals to create an additional Strategic Director post are in progress.</p>	Medium	Chief Executive

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	programme needs to be covered with resource and resilience as does the scaled-up Port Health function					
6.	Legislative changes and alterations in working arrangements cause unsustainable increases to workloads	High	High	Continuing monitoring of legislative changes and impacts. Through careful budget management, business planning, digital transformation and where appropriate business reviews, management are ensuring maximum use of resources and improving efficiencies	Medium	Head of Governance and HR
7.	Loss of investments through counter party failure	High	Medium	Use of very cautious criteria and procedures for selection / approval of counterparties, reflected in the Treasury Management Strategy	Medium	Strategic Director (Corporate Resources)
8.	The requirements of GDPR are breached resulting in the Council suffering reputational damage and incurring financial penalties and/or compensatory awards	High	Medium	A subgroup of the EKCIGG is continuing to oversee the requirements of the General Data Protection Regulations, to ensure that the Council is compliant. A Governance Officer supports the Solicitor to the Council in his role as the DPO on data protection matters. All staff and members have received training in GDPR and data security, the effectiveness of which can be demonstrated by a discernibly increased awareness amongst staff. An updated and improved online training platform has been procured providing more detailed information on the requirements of data protection. An electronic reporting module that is incorporated into the ICT service desk is in place through which staff can report suspected breaches of GDPR and cyber security. Human error remains the greatest area of risk, that is why training is so vital. Work continues the	Medium	Head of Governance and HR /Solicitor to the Council

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				<p>accountability and evidenced compliance requirements of GDPR, together with looking at additional measures to deal with processing personal data when working at home, and high-risk processing more generally. This is to reduce risk to individual's privacy and to the reputational and financial risk to the Council as a data controller.</p> <p>There is evidence that a claims/compensation culture has emerged in the community nationally. The Council has received claims which are presently manageable both in terms of value and volume. There is a very real risk that the volume of such claims will escalate.</p>		
9.	Delays to the regeneration programme may cause a lack of public confidence and impact on the Council's budget	High	High	Corporate Management Team meets key officers involved in the regeneration, growth, and investment agenda on a regular basis to review progress on the key projects and developments with the aim of ensuring maximum co-ordination and delivery is achieved. Regeneration Delivery and Inward Investment have also been co-located to ensure greater day to day engagement. Beyond this, regular Portfolio Holder and Shadow Portfolio briefings are undertaken, and briefings given to Scrutiny Committee. As the locality deals with and emerges from Covid-19, it is essential that singularly and through partnership working the Council can ensure that a targeted programme of investment and regeneration-based projects can be delivered and that the relevant resources are in place to realise agreed objectives.	Medium	Head of Investment, Growth and Tourism
10.	Planning appeals increase resulting in additional costs to the Council	Medium	Medium	Member training has been undertaken to promote sound decisions and should there be an appeal, minimise the risk of costs being incurred. Regular feedback is also being given to members and, in addition, Planning Committee has agreed to a review of appeals performance to assess	Medium	Head of Planning, Regeneration

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				whether there are any areas where decision making might be improved.		and Development
11.	<p>Companies currently providing contracted out services going out of business or failure to attract businesses during the tender process for contract renewal</p> <p>Failure to effectively re-let major contracts, e.g., Refuse Collection, Street Cleaning etc.</p>	High	Medium	<p>Undertake due diligence when assessing bidding tenderers. Assess and take appropriate action in the event of likely or actual failures e.g., approach other LA's to help, use of agency cover etc. in the interim while long term solutions are sought.</p> <p>The Council seeks external advice on the use of effective procurement practices, including legal expertise to minimise any risk and ensure that contract documents are drafted to deal with all eventualities. The Council's Business Continuity Plans seek to ensure that risks of being unable to maintain continuity of service provision are minimised.</p>	Medium	<p>Strategic Director (Corporate Resources) / Procurement Manager</p> <p>Strategic Director (Operations and Commercial)</p>
12.	The health and safety risks arising from the management in the Council's corporate and housing properties are not identified and addressed	High	Medium	Risk is being mitigated by the development of robust procedures for the management of legionella, asbestos and other property associated risks together with ensuring regular property inspections.	Medium	Head of Assets and Building Control/ Corporate Health and Safety Advisor
13.	Failure/delay in producing a Local Plan. This leads to the loss of a 5-year Housing Land Supply which results in successful appeals on unallocated sites, leading to reputational damage	High	Medium	The current position on 5-year HLS is 5.56 years. The process of agreeing the new HELAA sites to maintain or better this position with members has been a prolonged one but is nearing conclusion this Autumn. This has led to the recently agreed LDS timetable slipping further and the Reg. 19 stage of the plan will now not happen until Spring 2022. Temporary changes to the Housing Delivery Test (HDT) may see this position improve.	High	Head of Planning, Regeneration and Development

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14.	Corporate performance standards are not maintained resulting in adverse publicity and damage to the Council's reputation	High	Medium	<p>Performance targets are approved and then carefully monitored and when required timely action is taken to correct or address performance issues. Workforce planning focuses on maintaining key skills wherever possible, developing transferable skills, acquiring new staff skills through on-going training and development and external recruitment where required within the budgeted constraints.</p> <p>A new performance report is in currently development for consultation.</p>	Low	Head of Leadership Support
15.	Corporate governance and ethical standards are not maintained resulting in a lowering in public perception of the Council	High	Low	<p>There is an established governance culture with an open and honest challenge process across the organisation to encourage staff to do what's right for the customer and the Council. This provides a good basis to maintaining a high level of moral standards. The Council's Officer Code of Conduct is regularly audited and remains a document fit for purpose. A revised Corporate Governance Local Code was approved by the Council in June 2017 and the Annual Governance Assurance Statement is produced annually to demonstrate compliance with that code. An AGAS action plan is monitored 6 monthly via the Governance Committee</p>	Low	Head of Governance and HR
16.	The risk of an ICT related business Continuity event occurring and causing disruption to the Council's IT systems and general ability to function, specifically this includes - Network Failure – Risk of loss of a network or single network components. - Hardware Failure – Loss of one or more servers causing loss of data. - Security – Virus attack via firewall, email or external media.	High	Medium	<p>Data for all Councils is mirrored/backed up offsite giving geographical separation. Compute power to enable off site operation is being installed so that key staff can access key applications from a base to be determined in accordance with business continuity.</p> <p>Evidence suggests that staff, at all levels, are susceptible to the trickery of criminals and despite training, are capable of clicking on things they should not. Evidence also shows that these types of attacks are more prevalent due to Covid -19. CIGG has recently approved additional security measures to</p>	Low	Head of Governance and HR /Head of Community and Digital Services/ Digital Services Manager

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	- Environmental Failure – Fire/Flood, power loss, servers overheating			<p>be implemented and secured funding for additional cyber security training, which has now been rolled out to all staff.</p> <p>The Council has now moved to Microsoft 365, which means all our emails and network drives are now stored in the Cloud.</p> <p>The Council have received funding from MHCLG to improve our backup solutions.</p>		
17.	Accidents, Occupational Ill Health, Dangerous Occurrences, Near Misses etc. occurring to staff or members of the public, as a result of poor Health & Safety Management.	High	Medium	H&S Risk Assessments are in place and reviewed through regular service meetings and ongoing support to the relevant managers and audited as required. AssessNET (Cloud Hosted Health & Safety Management System) is used to centrally manage the council's Corporate Health and Safety responsibilities.	Low	Head of Port Health and Public Protection
18.	Staff sickness levels impact more heavily on a lean workforce and the Council's ability to deliver services	High	Low	Sickness levels are monitored and analysed as part of the Council's performance reporting process. Individual sickness is actively managed using OH to help employees to return to the workplace wherever possible. During an extended period of absence workloads are dealt with within each relevant section and if assistance is required requests for additional resources are considered via the Employment Management process. Employment Management Group now meets monthly to enable a more streamlined process.	Low	Head of Governance and HR
19.	Inadequate succession planning for an ageing workforce	Medium	Low	<p>Work relating to succession planning, which identifies a range of approaches to address succession planning, considers staff development at all levels and identifies actions to ensure the delivery of key services will be carried out now that Human Resources are an in-house service.</p> <p>An updated Apprenticeship Policy and Scheme was approved 2018 to meet the new Government requirements including the use of the apprenticeship levy and ensures the Council's continued commitment to an effective scheme. As</p>	Low	Head of Governance and HR

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				of October 2021, the Council currently has 19 live apprenticeships across a range of services and has a further placement approved which is yet, unfilled. The Council is participating in the Government's Kickstart Scheme which is hoped to bring young people into the organisation with the potential for more apprenticeships to be offered.		
20.	Significant increase to workloads as a result of external factors such as increased service demand, environmental emergency, legislative changes etc.	High	Medium	This is carefully monitored by CMT, using the performance information and other data. CMT also keep abreast of potential changes to legislation and anticipate the likely impact. If a short-term reduction in service performance is required, this will be discussed with the Leader and Cabinet in advance.	Low	CMT (via Head of Leadership Support)
21.	Increasing levels of complex, significant inward investment enquiries and subsequent planning applications is placing growing pressure on the regeneration and legal services officers, particularly when there are growing expectations around the need for early decisions and delivery to maintain the growth agenda along with our financial base	Medium	High	Key officers involved in the regeneration, growth and investment agenda meet on a regular basis with Corporate Management Team, The Leader and Shadow Portfolio Holder to ensure they are kept up to date with the situation and can consider options to meet the growing workload as and when required. This will include prioritising workloads, promoting planning performance agreements, using contractors and re-assigning staff where necessary. Additional resources are provided to assist with key projects and initiatives as required.	Low	Head of Planning, Regeneration and Development
22.	Inability of the Council to fulfil its functions during an emergency due to inadequate Emergency and Business Continuity Plans	High	Low	The BCP and emergency plans are in place and recently reviewed in line with Covid requirements including all Op Bridge Plans, with appropriate staff receiving emergency response training. New AOs and ILOs have been appointed and all documentation is available on TEAMS. The BCP and individual service business impact assessments have been reviewed, to identify key IT requirements and priority tasks that need to be maintained during an emergency. An internal cyber exercise was held in January 2019. Individual officer training has been undertaken and the next Exercise is being planned for November 2021.	Low	Head of Community and Digital Services

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23.	Public Service Network (PSN) non-compliance results in the Council being unable to access Government Networks, which in turn impacts on service delivery	High	Low	<p>The Vulnerability Management Program is in place and compliance work orders are now a regular feature of the operational teams' workloads. The need for 'patching' is continuous and the level of demand varies and is unpredictable.</p> <p>Metrics have been developed to better track and inform management responses. New tools have been procured that track the level of vulnerabilities over time. Resourcing issues have been improved but are static and compliance workloads initiated by the Security team are treated as a priority.</p> <p>ICT Management is now able to measure the level of vulnerability in a consistent fashion and assess the impact of the workloads that arise from treating them so that progress towards compliance can be tracked.</p> <p>Compliance is a moving target. Conversations between CIGG, ICT and the Digital team regarding the prioritisation of ICT resources are ongoing.</p> <p>It is anticipated that a PSN Submission will be made in the coming months. There may be a challenge to it succeeding because of delays to a program of upgrades to remove Server and SQL 2008 devices. There is an ambition to develop reports from the new information sources in ICT so that management functions outside of ICT can have better insight into the risks their Information Systems hold.</p>	Low	EKS ICT (via Head of Community and Digital Services/Digital Services Manager)
24.	Failure to monitor/ manage where applicable all shared services and joint working arrangements	High	Medium	<p>Project Board/ Project Groups are established to oversee shared service arrangements with the aim through effective performance monitoring that acceptable service standards are achieved and that demands, and workloads are managed effectively.</p>	Low	CMT (via Solicitor to the Council)

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25.	Council and/ or contractors fails to adhere to meet safeguarding obligations as set out in legislation such as Children Act 2004 and The Care Act 2014.	High	Low	Regular training of all staff concerning the Council's New Safeguarding Policy is to be delivered and kept up to date and obligations to adhere to the Council's policies are to be included within the contractual requirements for all key contractors. Full review of all DDC posts requiring DBS checks has been undertaken and now compliant with audit. Both KMASB and KMCSP are satisfied with DDC response to Safeguarding	Low	CMT (via Head of Community and Digital Services)
26.	Failure to maintain Council owned assets and buildings including the Council's housing stock	High	Medium	A robust 'compliance' regime exists which is currently being reviewed and strengthened. Risk based maintenance is undertaken to direct scarce public monies to where they make the greatest difference, however greater pressures on the Council's capital and revenue budgets increase the risk of maintenance works being delayed. The budget allocated for maintenance of corporate is sufficient only to provide repairs to a very basic standard. This has been the case for a number of years and the backlog of maintenance work continues to grow. With regards to the management of the housing stock, following the closure of EK Housing significant work has been undertaken to ensure regulatory compliance with issues such as gas safety checks, fires safety, electrical safety, asbestos etc. Work is in hand to develop a detailed planned maintenance programme to further improve standards of maintenance of the stock more generally.	Medium	Head of Assets and Building Control
27.	Failing to properly address all risks associated with the management of the Council's property investments thus reducing anticipated rate of return	High	Low	Management arrangements have been established involving the Council's legal, property and finance teams, alongside brought-in specialist advice as necessary to oversee the investment portfolio and minimise risk.	Low	Head of Finance and Investment
28.	Failure to manage a major failure of a significant council contractor	High	Low	The Council has a good record of effective contract and people management, to build partnerships with the Council's	Low	CMT (via Head of

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				service providers. This builds on the use of procurement expertise at tender stage involving, credit checks (including parent companies), requirement for bonds where appropriate etc.		Finance and Investment)
30.	Additional duties and potential staff absence relating to any future Covid lockdowns impacting on the organisations ability to provide services	Medium	Medium	Additional responsibilities to support businesses, communities and in enforcing Covid compliance, combined with potential staff absence resulting from any future lockdown, will put a strain on the organisations ability to provide necessary services. This may significantly impact individual functional areas or be widespread across the organisation. Careful monitoring of additional requirements placed on the organisation will enable measures to be put in place (e.g., temporarily diverting staff to alternative roles, topping up resource in certain areas etc) to reduce the risk. In addition, delivery of clear health and safety (Covid compliance) guidance to staff, provision of PPE and a Covid-safe workplace will reduce impact on staff capacity.	Medium	CMT & Heads of Service & Head of Port Health and Public Protection
31.	Failure to scale up the existing Port Health Authority (recruit and train) up to approximately 242 staff to operate a Border Control Post, to go live 01 July 2022	High	High	Continue to work with Defra to obtain from them: <ul style="list-style-type: none"> • Funding to cover full set-up costs for the service. • An evaluation and review of import data. • A contingency plan (what will they do if their modelling and assumptions are wrong? What will we do if we cannot recruit enough staff?) 	High	Strategic Director (Corporate Resources)/ Head of Port Health and Public Protection
32.	Approval of a sustainable budget - The pressures on funding from Council Tax, Business Rates, car parking, leisure income and other sources will place pressure on earmarked reserves to fund the budget. This will not be a long-term sustainable solution	High	Medium	Brief cabinet on the options available and the impact upon reserves to present a sustainable budget.	Medium	Strategic Director (Corporate Resources)

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33.	Housing - The quality of stock and tenancy related data passed to the council at the wind up of EKH is poor. There is a risk to compliance and tenancy management	High	High	The housing service has been 'inhouse' now for a little over 1 year and good progress has been made establishing clear operating procedures. The former single IT system has been successfully split into four separate databases and DDC have built and are about to launch a document management system that will accurately store customer records. The Council continues to work with the Regulator for Social Housing in relation to the compliance concerns. Progress has been good in this area.	Medium	Strategic Director (Corporate Resources)/ Head of Housing /Head of Assets and Building Control
34.	Border Control Point (Inland Border Facility) at White Cliffs Business Park	High	Medium	The potential disruption that will be caused to the locality along with the loss of currently designated employment space at WCBP (will need to compensate) If the proposal goes ahead, mitigations will be needed for the operational traffic that will ensue (Duke of York's Roundabout is key). These issues are being raised within the SDO process with the relevant government departments.	Medium	Strategic Director (Operations and Commercial)