**BUSINESS SUPPORT
OVERVIEW AND SCRUTINY COMMITTEE**

19 SEPTEMBER 2013

**ANNUAL REVIEW OF RISK MANAGEMENT STRATEGY
AND 6 MONTHLY REVIEW OF THE COUNCIL'S
CORPORATE BUSINESS RISK REGISTER**

Report from: Robin Cooper, Director of Regeneration, Community
                          & Culture and Chair of Strategic Risk Management
                          Group

Author: Joy Kirby, Quality Assurance and Client Manager

Summary
In accordance with paragraph 4.1 of the Council's Risk Management Strategy, this report is to discuss both the annual review of the Risk Management Strategy and the 6 monthly review of the Council's Corporate Business Risk Register

1. **Budget and Policy Framework**

1.1   The Risk Management Strategy underpins all aspects of Council work
       and is fundamental to the Performance Plan in terms of "giving value
       for money".

2. **Background**

2.1   **Risk Management Strategy** - Cabinet undertook the annual review
       of the strategy on 30 October 2012 and agreed the strategy and
       officers' recommendations that no significant changes needed to be
       made at that time.

2.2   **The Corporate Risk Register** - was last reviewed by Management
       Team 20 February 2013 and Cabinet on 16 April 2013. The following
       changes were made to the register at that time:

2.2.1 Amend the name of SR26 'Maximising Outcomes for Looked after
       Children in the context of increasing demand' to Children's Social Care
       and increase the risk rating from B2 to A2 to reflect the fact that we are
       working to address the areas for improvement outlined in the recent
       OFSTED report and need to be alert until the programme has been
       fully embedded and delivered.

2.2.2 Amend the name of SR25 'Adult Social Care Demographics' to Adult Social Care Transformation and increase the risk rating from C2 to B2 to reflect the fact that we are at a point of significant change and need to be alert until the programme has been fully embedded and delivered.

2.2.3 To achieve a single focused risk on Public Health issues, SR28 Changes to the Health System be merged with SR31 Public Health Transition.

2.2.4 The inclusion of a new risk SR32 that focuses on potential outsourcing issues.

2.3 However, Cabinet also agreed to include the Business Support Overview and Scrutiny recommendations that:

- References to the welfare reforms detailed in risks SR03b Finances - Longer Term and SR 19 Downturn in the Economy are made more explicit or create a separate risk.

- Amend the title of risk SR21 Procurement to Procurement and Tendering.

- SR17 Delivering Regeneration be amended or a new risk be created to reflect the impact on the Council's regeneration programme should it be significantly affected by the current economic down-turn or market failure.

- The risk rating for the new risk SR32 Outsourcing be increased from C2 to B2 and report back to BSO&S should this recommendation not be agreed.

2.3.1 Officers have amended the risks to addresses Members' concerns.

2.4 **The Risk Management Audit 2010/2011** - confirmed that risk management arrangements are satisfactory. However it identified that training and arrangements regarding the creation of directorate risk registers require further development.

The Strategic Risk Management Group, in consultation with the Research and Review team (who manage Covalent), agreed a phased approach, to take this forward.

3.   Advice and analysis

3.1 **Risk Management Strategy -** The 2012-2013 audit review of risk management arrangements assessed compliance with the Council's risk management strategy and compared the strategy against recognised good practice. The audit opinion found this to be 'satisfactory'.

3.1.1 The Strategic Risk Management Group reviewed the risk strategy (Appendix A) in August 2013 and, in the light of the audit opinion, recommended that no significant changes need to be made at this time.

3.2 **The Corporate Risk Register** - Risks owners have reviewed their risks and updated them as detailed in Appendix C and the following recommendations have been proposed:

3.2.1 The risk rating for SR19 Economic Down-turn be reduced to B2 to reflect an improving local position e.g. unemployment dropping by 13% over the last two years.

3.2.2 The risk rating for SR13 Equalities and Diversity be reduced to C2 to reflect the indications from comments from external organisations that community relations across Medway are positive and the council has made progress in embedding Equalities and Diversity considerations across the council.

3.2.3 The MTFP includes predicted savings from BfL programme of £5.4m off the 2010/11 base by 2014/15. Delays to the delivery of the programme and deferral of work to review customer contact and administration activity in children's care as the service responds to inspection findings mean that delivery of those savings will be over a longer time period than planned. As such it is proposed that the risk rating for SR30 Delivering Better for Less Transformation be increased to B2.

3.2.4 For clarity, SR 32 Outsourcing Services risk be renamed Norse Implementation.

3.2.3 Appendix B - Record of Amendments, summarises the amendments to the risk register.

3.3 **The Risk Management Audit 2012/2013** – whilst the audit confirmed that risk management arrangements are satisfactory, it identified a three medium priority recommendations which were outstanding from previous audit.

3.3.1 The first recommendation, relating to a representative from Children and Adults Directorate on the Strategic Risk Management Group, has been implemented.

3.3.2 Auditors recognised that ongoing discussions about how risk is recorded contributed to lack of progress on the other two risks namely:

i) There is a lack of evidence on the Covalent performance management system as to whether service/divisional risks are being monitored effectively as part of the AD quarterly (ADQ) reporting process.

ii) No further work has taken place on developing directorate risk registers due to potential changes to the way risk is recorded.

3.3.3 Re (i) an email reminding managers that risks identified in service/divisional plans should be reviewed as part of the SMQ and ADQ reporting processes was sent out to ADs and Service managers in June2013.

3.3.4 Re (ii) training on risks will be incorporated into training for service managers on how to use Covalent.   Divisional or directorate risk registers will be developed once service risks have been uploaded into Covalent*.*

4. Consultation

4.1 The Strategic Risk Management Group and risk owners have been consulted on the proposed amendments to the risk register. Members will be consulted on the both the Risk Management Strategy and the Corporate Risk Register via Overview and Scrutiny and Cabinet.

5. Financial, legal and risk implications

5.1 This report brings forward the annual review of the Council's Risk Strategy and the six monthly review of the Council's risk register both of which are integral to the Council's approach to risk management.

5.2 There are no direct financial or legal implications arising from this report although clearly the inability to control or mitigate risks could have a financial or legal impact.   Risk rating for this report is E3 (Likelihood: very low, Impact: Marginal).

6. Recommendation

6.1 Members' views are sought on the following:

a) The Risk Management Strategy, as set out in Appendix A to the report,
b) Management Team's recommendations on amendments to the Council's Risk Register as detailed in section 3 of this report.

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Appendices: Appendix A - Risk Management Strategy
                     Appendix B - Record of Amendments
                     Appendix C - Corporate Business Risk Register

Background papers: None

Medway Council
Risk Management Strategy

1.   Introduction

1.1   Risk management is an integral part of good governance. The Council recognises that it has a responsibility to identify and manage the barriers to achieve its strategic objectives and enhance the value of services it provides to the community.

1.2   This strategy incorporates and:

- promotes a common understanding of risk;
- outlines roles and responsibilities across the council;
- proposes a methodology that identifies and manages risk in accordance with best practice thereby seeking to prevent injury, damage, loss and reducing the cost of risk.

1.3   The strategy sets out:

- a definition of risk and what is meant by risk management
- actions that need to be taken.
- roles and responsibilities

1.4   The strategy will be reviewed annually to ensure that it remains up-to-date and continues to reflect the Council's approach to risk management.

2.   The Benefits of Risk Management

2.1.   The following diagram sets out the benefits that are associated with sound risk management.
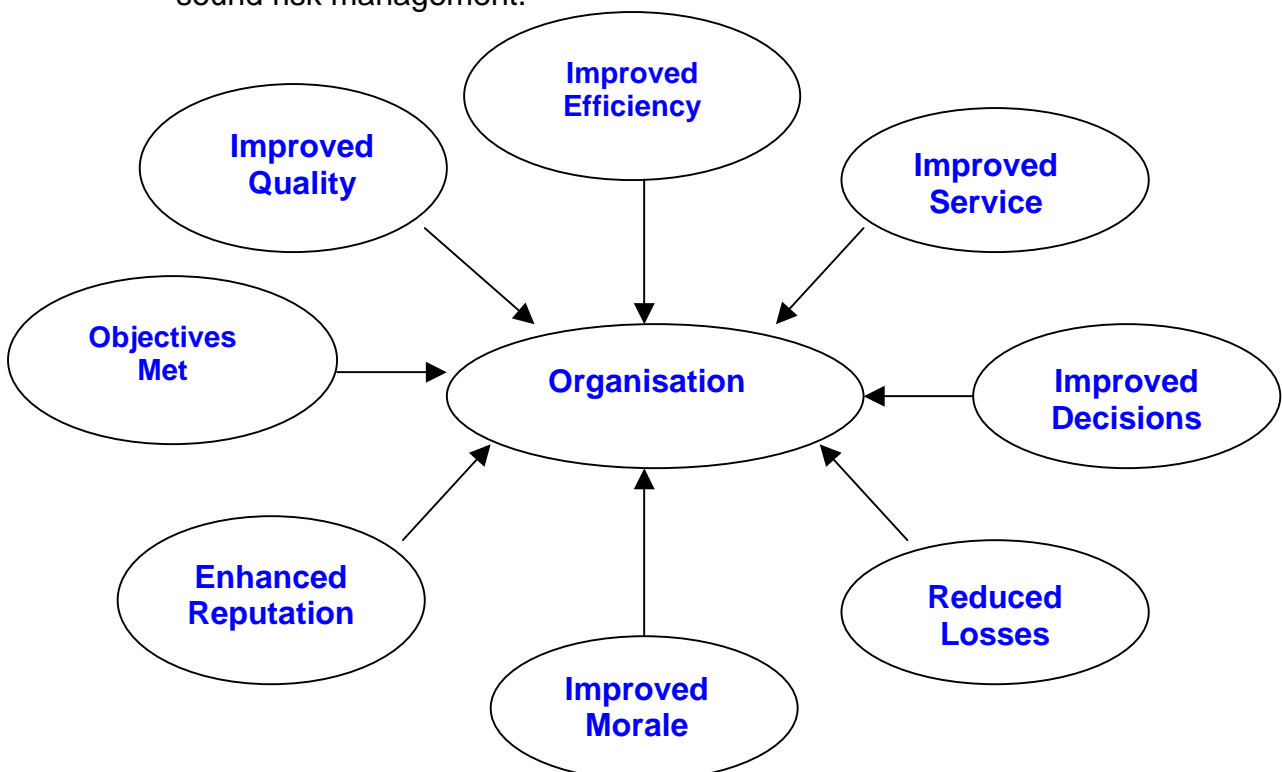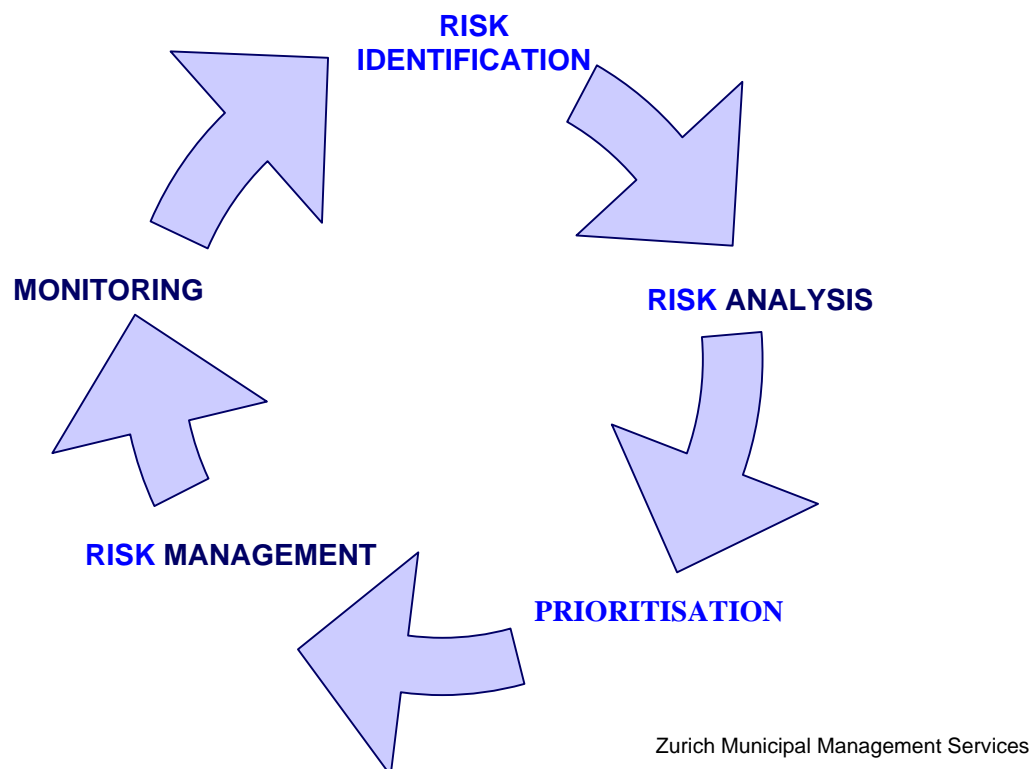
**Medway Council
Risk Management Strategy**

3.   What is Risk Management?

3.1   Risk management is a focus on the risks facing the Council, making the most of opportunities (making the right decisions) and achieving objectives once those decisions are made.

3.2.1 The process of risk management can be illustrated through the risk management cycle:

**RISK
IDENTIFICATION**

RISK ANALYSIS

MONITORING

PRIORITISATION

RISK MANAGEMENT

Zurich Municipal Management Services

3.3   Risk helps to deliver performance improvement and is at the core of decision-making, business planning, managing change and innovation. It needs to be practised at both management and service delivery level. It enables the effective use of resources, secures the assets of the organisation and its continued financial and organisational well-being

3.4   There are two types of risks:

direct threats (damaging events/issues) which could lead to a failure to achieve objectives. An example might be severe flooding in Strood affecting the local economy and residential properties.

opportunities (constructive events/issues) which if exploited could offer an improved way of achieving objectives , but which are surrounded by threats. An example was the move to the new Corporate HQ with all ICT in one building. Having established a potential risk there is a need to work on a strategy to mitigate the risk. This particular risk has been successfully dealt with.

3.4.1   Business v Operation risks

Business/service risks : Those which have been identified as potentially damaging to the achievement of the Council's objectives and departmental/ service business plans.   An example might be a major fire in a Council School.

Operational risks: Risks which managers and staff are likely to encounter in the day-to-day work situations. An example might be a loss of key staff.

3.5   Risk is a condition, an act, situation or event with the ability or potential to impact on customers, units/departments by either enhancing or inhibiting corporate/departmental performance, attainment of corporate/ departmental objectives or meeting customers and stakeholders' expectations.   The Scope of Business Risk model below shows the number of areas that can be affected.
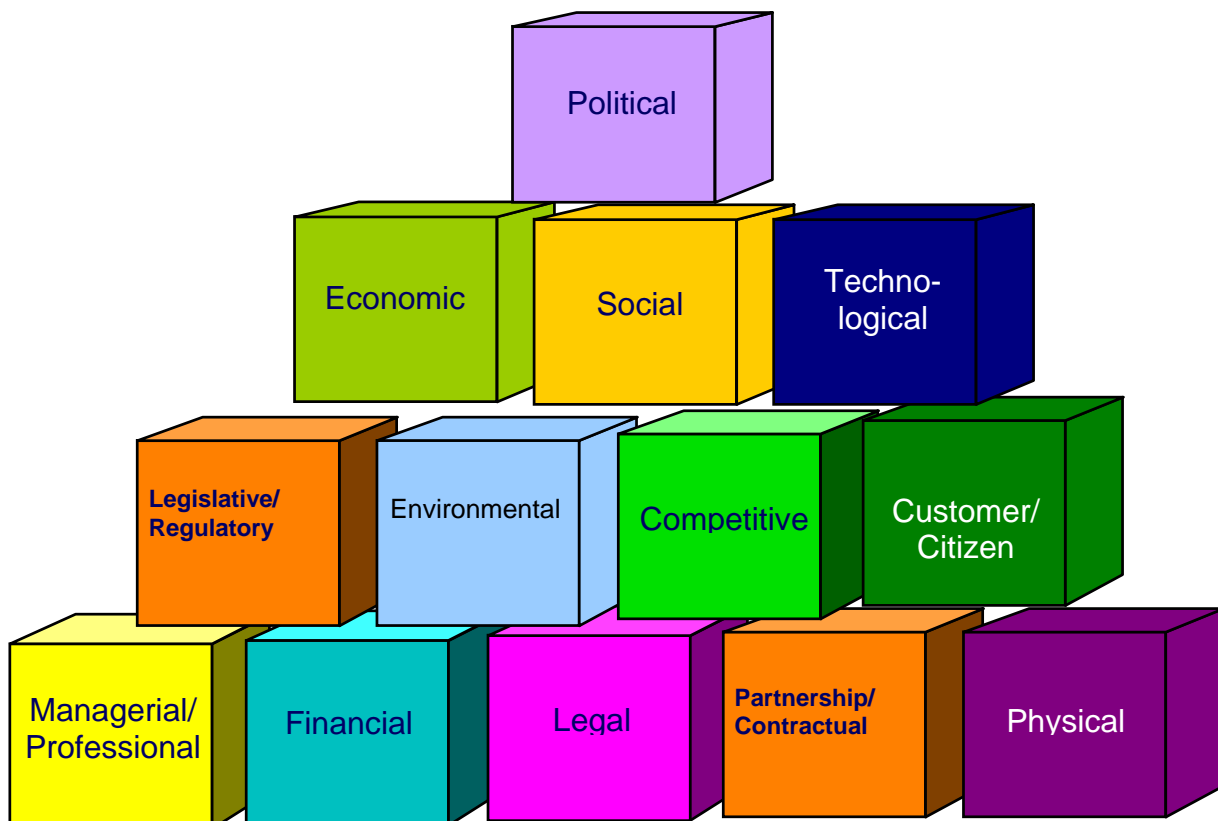
Zurich Municipal Management Services

Medway Council
Risk Management Strategy

3.6   Risk are benchmarked against corporate goals:

a)   Impact: To what extent the issue, assuming it were to manifest itself to the degree defined in the consequences, would impact on the organisation's ability to achieve its vision, aims and priorities? These are measured as:

    I   Catastrophic (Showstopper)
    II   Critical
    III   Marginal
    IV   Negligible

b)   Likelihood: (resource allocation): Taking into account existing measures to manage issue (not those planned or not yet in operation), how likely is the 'impact' to occur within the timeframe of the corporate plan? i.e. 2007/10. These are measured as:

    A   Very high
    B   High
    C   Significant
    D   Low
    E   Very low
    F   Almost impossible

3.7   It may not be cost-effective to manage all risks – even significant ones. In these circumstance the Council may decide to tolerate the risk.

        To help the council make that decision all risks will be categorised using the measures detailed at 3.6 and plotted against the Council's Strategic Risk Profile shown below:

	IV	III	II	I
A				
B				
C				
D				
E				
F				

The Council have agreed the tolerance line be drawn at CII (Significant & Critical). The council will then decide what action to take to monitor such risks.

3.8   Risks will be regularly monitored using service planning and AD Quarterly reports and the Council's performance management system (Covalent). Risks above the tolerance line (CII) will be escalated to the next management level as detailed in Appendix 1.

3.9   Effective risk management includes regularly reviewing our emergency planning programmes and service continuity management to maintain a high standard in our response to potential crises. This means developing, implementing and maintaining an action oriented process for responding to any emergency, managing major incidents and recovering the service level to the local community.

4.   Roles & Responsibilities

4.1   The following details the roles and responsibilities for delivering risk management.

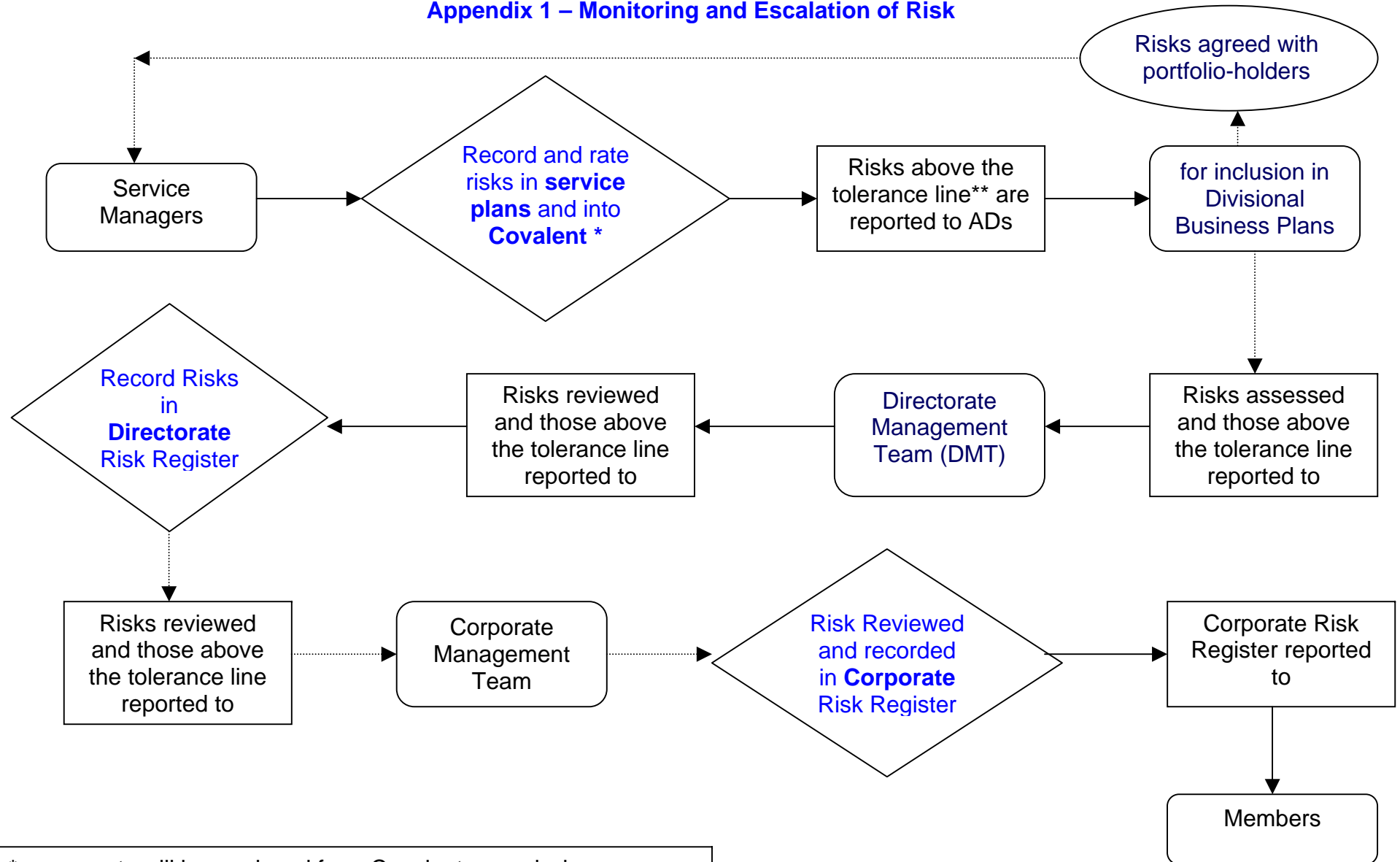| Who	Roles & Responsibilities
Members	• commit to the Risk Management Strategy • review risks through the 6 monthly reports on key strategic risks and information contained in the Council Plan, Cabinet reports and AD quarterly reports.
Management Team (MT)	• review and manage the Council's key strategic risks every 6 months. • provide leadership and support to promote a culture in which risks are managed with confidence at the lowest appropriate level
Strategic Risk Management Group (Membership shall be: A chairman who is a nominated director and appropriate representation from each Directorate with an overall responsibility for risk issues.)	• chair of group to sponsor risk management at MT (currently Director of Regeneration, Community and Culture). • ensure the Council's key strategic risks are reviewed, updated and presented to MT every 6 months. • regularly review the risk management and control process employed across the Council.

Medway Council
Risk Management Strategy

Who	Roles & Responsibilities
Strategic Risk Management Group	• review findings and recommendations of external auditors, internal audit or other relevant third parties in relation to risk management. • review the impact of any changes in the organisation on the risk management process and the response to these changes including the update of the risk register. • champion risk management, the practice, awareness and buy in across the organisation. • provide strategic support the development of service continuity plans and the emergency planning service.
Directorate Management Teams (DMT)	• ultimate responsibility for the management of all directorate risks and maintenance of a sound system of internal control within the directorate and across partnership working • review and monitor the effectiveness of the risk management actions relative to the significant key risks to the directorate on a quarterly basis. • reflect significant changes to business objectives and related risks and, where relevant, address them in the Directorate Business Plan.
Assistant Directors	• oversee the effective implementation of risk management within their service area within the agreed principles and framework • discuss significant key risks and risk management actions with their portfolio holders and report on progress through the AD Quarterly Reports. • alert Directorate Management Team (DMT) if impact or likelihood of the risk increases..

Medway Council
Risk Management Strategy

Who	Roles & Responsibilities
Service Managers	• identify risks for their service areas, assess them for likelihood and impact, propose actions to mitigate them and allocate responsibility for the controls mitigating the risk. • record them into service plans. • discuss significant key risks and risk management actions with AD and reporting progress through the AD Quarterly Reports. • alert their line manager if impact or likelihood of the risk increases.
Staff at all levels within the council	• identify, assess and report risks within their service areas • practice risk management in their day to day activities • alert their line manager if impact or likelihood of the risk increases.

Created March 2006, reviewed annually, last review August 2013

Medway Council Risk Management Strategy
Appendix 1 – Monitoring and Escalation of Risk

Risks agreed with portfolio-holders

Service Managers → Record and rate risks in **service plans** and into **Covalent *** → Risks above the tolerance line** are reported to ADs → for inclusion in Divisional Business Plans

Record Risks in **Directorate** Risk Register ← Risks reviewed and those above the tolerance line reported to ← Directorate Management Team (DMT) ← Risks assessed and those above the tolerance line reported to

Risks reviewed and those above the tolerance line reported to → Corporate Management Team → Risk Reviewed and recorded in **Corporate** Risk Register → Corporate Risk Register reported to → Members

* – reports will be produced from Covalent as and when required.
** - tolerance line is currently C2

SUMMARY OF CORPORATE RISK REGISTER – RECORD OF AMENDMENTS

Risk Ref	Rating Sep 10	Rating Mar 11	Rating Sep 11	Rating Feb 12	Rating Oct 12	Rating Feb13	Rating Aug 13	Movement	Risk Description	Owner	Portfolio Holder	Link to Corporate Priority
3b	A1	A1	A1	A1	A1	A1	**A1**	→	Finances	Chief Finance Officer	Alan Jarrett	Giving value for money
26			B2	B2	B2	A2	**A2**	→	Children's Social Care	Director Children and Adults Services	Mike O'Brien	Children & young people having the best start in life
9b	B2	B2	B2	B2	B2	B2	**B2**	→	Keeping vulnerable young people safe and on track	Director Children and Adults Services	Mike O'Brien	Children & young people having the best start in life
17	B2	B2	B2	B2	B2	B2	**B2**	→	Delivering Regeneration	Director Regeneration, Community and Culture	Rodney Chambers	Everyone benefiting from the area's regeneration
19	A2	A2	A2	A2	A2	A2	**B2**	↓	Down turn in the economy	Chief Executive	Alan Jarrett	Giving value for money
25			C2	C2	C2	B2	**B2**	→	Adult Social Care Transformation	Director Children and Adults Services	David Brake	Adults maintaining their independence and live healthy lives
27			B2	C2	B2	B2	**B2**	→	Government changes to Local Authority's responsibility for schools	Director Children and Adults Services	Mike O'Brien	Children & young people having the best start in life
30			B2	C2	C2	C2	**B2**	↑	Delivering Better for Less Transformation	AD Communications, Performance and Partnerships	Alan Jarrett	Giving value for money
32						B2	**B2**	→	Norse Implementation	AD Legal and Corporate Services	Alan Jarrett	Giving value for money
4	C2	C2	C2	C2	C2	C2	**C2**	→	Performance Management	AD Communications, Performance and Partnerships	Alan Jarrett	Giving value for money
13	B2	B2	B2	B2	B2	B2	**C2**	↓	Equalities & Diversity	AD Communications, Performance and Partnerships	Alan Jarrett	Putting our customers at the centre of everything we do
21	A2	A2	C2	C2	C2	C2	**C2**	→	Procurement and Tendering	AD Legal and Corporate Services	Alan Jarrett	Giving value for money
31					C2	C2	**C2**	→	Public Health Transition	Director of Public Health	David Brake	Putting our customers at the centre of everything we do
2	D2	D2	D2	D2	D2	D2	**D2**	→	Business Continuity & Emergency Planning	Director Regeneration, Community and Culture	Peter Hicks	Putting our customers at the centre of everything we do
22	D1	D1	D1	D1	D1	D2	**D2**	→	Treasury Management	Chief Finance Officer	Alan Jarrett	Giving value for money

Last updated August 2013

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CORPORATE RISK REGISTER

RISK MATRIX - STRATEGIC PROFILE FOR APRIL 2013

Likelihood	IV	III	II	I
A			26	3b,
B			9b, 17, 19, 25, 27, 30, 32	
C			4, 13, 21, 31	
D			2, 22	
E				
F				

Impact →

Likelihood:

A   Very high
B   High
C   Significant
D   Low
E   Very low
F   Almost impossible

Impact:

I   Catastrophic (Showstopper)
II   Critical
III   Marginal
IV   Negligible

CORPORATE RISK REGISTER

SR 03b	Finances		Owner	Chief Finance Officer	Finance & Deputy Leader's Portfolio	Current Risk Score	A	I	Reviewed	08-Aug-2013
Link to Corporate Priority		**Giving Value for Money**								

Vulnerability	Trigger	Consequences
The Medium Term Financial Plan and SR 2013 identify both significant cost pressures for the Council and continued unprecedented cuts in funding for the foreseeable future. The settlement for 2013/14 confirmed a further 4% cut in grant support and despite the review of the distribution formula for 2013/14 the settlement revealed a further 9% cut in grant support for 2014/15 which the budget statement in March 2013 made worse by a further 1%. CSR 2013 announced at the end of June 2013 and the consultation documents issued in July identify a further 14% cut in support for 2015/16 and suggest that the pressure on funding will continue in 2016/17 and beyond.	The Chancellors Budget Statement in March 2013 and the consultation on CSR 2013 have confirmed that the Public Sector and LA's in particular will continue to face an austerity regime until 2017 at least. Welfare Benefit reforms, targeted at the working age benefit recipients, are having a significant effect on vulnerable individuals and families who are seeing a significant drop in income. This will almost certainly impact directly in our ability to collect debt and achieve income budgets as well as impose demands on services to support the vulnerable such as homelessness and social care especially for large families who are the major group affected by benefit capping	Very difficult decisions around funding allocation Service cuts Quality of service compromised. Cutback in staffing on an already lean organisation VFM Judgement Negative local publicity. Damage to reputation.

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 03b.01	Need to ensure effective response/lobbying to Govt proposals for CSR and settlement and target media campaign in support	Chief Finance Officer	Co-ordinate responses with members, Brief MP's, Agree media campaign, Solicit support from peer authorities/partnerships.	VFM Judgement - adequacy of financial planning, effective budgetary control.	On-going	Six monthly
SR 03b.02	Align priorities and activity of the council to resource availability through MTFP process.	Corporate Management Team	Co-ordinate responses with members, agree media campaign, solicit support from peer authorities and partners.	VFM Judgement - adequacy of financial planning, effective budget control, balanced budget and adequacy of reserves.	September 2013 to February 2014 for 2014/15 Budget and Council Tax. Ongoing for 2013-2015	6 monthly then monthly from September onwards
SR 03b.03	Create resources for investment priorities	Corporate Management Team	- Track funding opportunities - Maximise asset values for disposal - Consider prudential borrowing	- External investment - Asset release - Revenue cost associated with prudential borrowing	On-going	Six monthly

Covalent – August 2013

CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 03b.04	Lobby MPs and Government both directly and in concert with other Local Authorities to extend timescales and recognise cost burden of changes to Council Tax Benefit Scheme	Chief Finance Officer	- Realistic timeframe. - Recognition of cost burden in future settlement	A Sustainable, realistic scheme that doesn't rely on unachievable income collection.	Welfare reforms commence in April 2013 with council Tax Support, Under Occupancy Charge, Benefit Capping and Universal Credit likely to commence in 2014.	Monthly

Covalent – August 2013

CORPORATE RISK REGISTER

SR 26	Children's Social Care		Owner	Director of Children and Adults	Children's Services Portfolio		Current Risk Score	A	II	Reviewed	Aug-2013

Link to Corporate Priority	Children & Young People in Medway have the best start in life

Vulnerability	Trigger	Consequences
The continuing high demand for services for children in need, including the need for protection and looked after children puts pressure on the council's ability to invest in preventative services. Increased expectations by external regulations in relation to standard of care and provision provided. Problems in recruiting to key posts would impact on Council's ability to deliver good quality and consistent practice.	The Council is unable to address this issue with cost effective, innovative solutions. Numbers of children in care and those with high level child protection needs increase. Increased caseloads impact on quality of work being undertaken with children in need, including the need for protection and looked after children. Work with children and families is not carried out in a timely and planned manner and the resultant drift adversely impacts on caseloads. Partner agencies not taking up their role in supporting the most vulnerable.	- Costs spiral with consequences across the Council. – limits ability to divert resources to early help which ultimately must be part of the solution to increasing numbers of looked after children and preventing children and young people from becoming subject to child protection plans. – Inability to attract and retain staff. – Poorer outcomes for children and young people. - Impact on statutory responsibilities and regulatory judgement.

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 26.01	Recruitment & retention & workforce development strategy for children's social workers developed.	Children's Social Care (AD); Human Resources Service Team	Well trained & supported workforce	Business case to inform budget decisions on investment in early help	Work commissioned	Reviewed monthly
SR 26.02	Implement improvement plan to strengthen quality of practice.	Children's Social Care (AD)	Improved outcomes for vulnerable children.	-Reduced drift -Less children subject to CP plans for 2 yrs plus -Improved educational outcomes for LAC -Voice of child clear and heard	Children subject to CP plan 2 yrs plus. Educational outcomes LAC. Reduce delays in care proceedings.	CADMT & Corporate Parenting
SR 26.03	Implement new IT system framework	Children's Social Care (AD)	Improved recording and electronic based records	Electronic based recording system	System up and running and fully used. Go live 1 April 2013	Monthly Project Board
SR 26.04	Implementation of the Children's Social Care Quality Audit Framework	Children's Social Care (AD)	Good quality and consistent practice	Audits are completed as per the QA framework.	The learning points from completed audits are aggregated so as to inform learning.	
SR26.05	Strengthen MSCB	Director of Children and Adults	Strengthened partnership arrangements for supporting vulnerable children.	Stronger focus on core business.	Multi agency attendance at CP conferences.	Monthly CADMT & MSCB

CORPORATE RISK REGISTER

SR 09b	Keeping vulnerable young people safe and on track	Owner	Director of Children and Adults	Children's Services Portfolio		Current Risk Score	B	II	Reviewed	Aug-2013

Link to Corporate Priority	Children & Young People in Medway have the best start in life

Vulnerability	Trigger	Consequences
Changes in the demographics and in the legislative requirements affect SEN and YOT	The Council is unable to address these issues with cost effective, innovative solutions.	Poorer outcomes for children and young people Costs spiral with consequences across the Council Revenue problems not resolved by capital investments Impact on statutory responsibilities and regulatory judgement

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 09b.04	A 5 year SEN Strategy setting out milestones towards more inclusive, VFM, local provision to meet the needs of CYP with SEN, has been developed.	Inclusion & Improvement (AD)	Ensuring service delivered within budgetary constraints	Strategy adopted by Cabinet in January 2010 and provision developed.	Less out of area SEN placements; more children being educated in mainstream schools with outreach; Increased local specialist provision	SEN data is reviewed as part of the AD's quarterly performance digest and ADQ.
SR 09b.05	Ensure practitioners are equipped to be compliant with changes in the Youth Justice system and that monitoring systems are in place to track this. Begin to plan intensive interventions that would be used as an alternative to custody - DfE bid submitted to research needs and most effective interventions to support young people on edge of offending. Alternatives to custody being developed and the functional family therapy FFT work	Inclusion & Improvement (AD)	- Lower numbers of first and repeat entrants to the YJS. - Lower number of custodial and repeat custodial sentences. - Effective analysis of data to inform practitioners input. - Ensuring service delivered within budgetary constraints. - Magistrates have confidence in interventions. Suitable placements are developed for vulnerable children which keep them safe and enable magistrates to impose on the order as an alternative to secure remand	Performance is monitored monthly (proxy figures) and quarterly (YJB information) 1: 1 meetings with Head of Service Business case for preventative support.	Grant provided by MoJ for developing alternatives to custodial remand is used effectively for innovative support and budget not exceeded by custody bill. Successful bid to DfE. Needs assessment was completed in July 2012. We currently have an internship working with us to spec up different alternatives to custody. That piece of work will be completed by end of April	The number of YOT clients are reviewed monthly and quarterly with reports being taken to the YOT management board (chaired by CEO)

Covalent – August 2013

CORPORATE RISK REGISTER

SR 17	Delivering regeneration		Owner	Director of Regeneration, Community and Culture	Leader's Portfolio		Current Risk Score	B	II	Reviewed	06-Aug-2013

Link to Corporate Priority	Everyone Benefitting from the Areas Regeneration

Vulnerability	Trigger	Consequences
Medway's regeneration plans to regenerate the area to attract 30,000 people to Medway up to 20,000 jobs and 17,000 new homes in the next 20 plus years. There are challenges for the provision and maintenance of effective infrastructure. Particular areas of concern are flood protection, highways, market confidence and water capacity. It is vital the benefits are felt by the population of Medway, so that the new jobs are not filled by only people from outside the area. The programme will be significantly affected by the current economic down-turn or could be prone to market failure. At present long-term funding for future regeneration is uncertain.	The Council fails to achieve the economic, social and infrastructure regeneration agenda	Regeneration projects not completed Potential damage to Council's reputation Not able to meet member, government and the public's expectations Deteriorating physical assets Developers deterred Investment wasted Young people are not catered for in the 'new world' Low skills base among some residents remains Disconnect between skills and employment opportunities Maintenance of low aspiration culture New jobs unfilled or filled by non-local population Increased commuting and pressure on transportation Negative impact on community cohesion

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 17.01	Outline infrastructure needs identified.	Director of Regeneration, Community and Culture	Completion of a Community Infrastructure Levy policy and identification of inward investment priorities.	Start made on key regeneration sites	- Generation of funds to carry out the work and investors confidence; - 20 year development programme	Quarterly
SR 17.02	Homes and Communities Agency (HCA) alerted to the impact of lack of funding and dialogue opened with External Partners.	Director of Regeneration, Community and Culture	HCA confirm any funding commitments and business plans for HCA sites Stewardship agreements completed for each HCA site	Funding identified to continue regeneration.	Regeneration projects agreed with Members	Quarterly
SR 17.04	Regular meetings with stakeholders including developer to lever in external funding and bring forward transformational programmes.	Director of Regeneration, Community and Culture	External financial arrangements to fund transformational programmes and deliver plans that are implemented on time and to budget	Investors come forward for regeneration sites.	As detailed in individual delivery plans	monthly

CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 17.05	Working with the Local Enterprise Partnership to attract funds to Medway.	Director of Regeneration, Community and Culture	External financial arrangements to fund transformational programmes and deliver plans that are implemented on time and to budget. Create and protect long-term jobs in the private sector, and programmes which will deliver sustainable jobs.	Growing Places Fund (GPF): £4.4m Rochester Riverside; £2.99m Chatham Waterfront. TIGER (Thames Gateway Innovation, Growth and Enterprise) £20ml for North Kent and Thurrock for business loans and grants	As detailed in individual delivery plans	monthly

CORPORATE RISK REGISTER

SR 19	Down turn in the economy		Owner	Chief Executive	Finance & Deputy Leader's Portfolio	Current Risk Score	B	II	Reviewed	08-Aug-2013

Link to Corporate Priority	Giving Value for Money

Vulnerability	Trigger	Consequences
A continual downturn in economic conditions would impact upon the Council's ability to: a) support the vulnerable in our community and manage potential increase in child poverty, homelessness, benefit take-up, potential increase in anti-social behaviour and crime. b) deliver the capital programme with reduced receipts. c) balanced budgets with reduced income through fees and charges. d) take forward Medway's regeneration agenda.	A worsening global economic climate that impacts upon Medway - recession. Welfare Benefit reforms, targeted at the working age benefit recipients, will have a significant effect on vulnerable individuals and families who are likely to see a significant drop in income. This will impact directly in our ability to collect debt and achieve income budgets as well as impose demands on services to support the vulnerable such as homelessness and social care.	- Negative impact on the community - Increased pressure on existing resources and reduction/cuts to services - Increased costs of purchasing services - Land value decline putting partnering arrangements at risk - Quality of service compromised. - Relationship with partners may deteriorate - Damage to reputation. - Negative publicity - Reduced fees and charges income - Potential debt arrears (both council and others) - Increased benefit take up

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 19.01	Regular monitoring of economic downturn by Corporate Management Team and Medway Economic Board	Director of Regeneration, Community and Culture	Performance indicators on downturn.	- 70% increase in the number of apprentices; - 800 unemployed people to find jobs - 74 new companies to be created in Medway over a 3 year period.	- House building - Employment rates - Apprentices	Quarterly
SR 19.02	TIGER (Thames Gateway Innovation, Growth and Enterprise) fund. £20m for North Kent and Thurrock for business loans and grants. Indicative allocation around £4.4m for Medway.	Director of Regeneration, Community and Culture	Helping local businesses to survive the recession.	- Loans at 0% interest; - Creation of new sustainable jobs	- Numbers of local firms to bid for contracts; - Increase in numbers in sustainable employment - Promoting procurement opportunities to local firms	Monthly
SR 19.04	Review investment strategy for regeneration/education initiatives	Chief Finance Officer	Assess funding streams and adjust spending priorities	Continue to assess the situation	Capital monitoring reports	Monthly

CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 19.05	Regular reports on capital programme to Management and Members	Chief Finance Officer	Reports based on historic data forecast to end of year position	- Finance Teams to produce data in collaboration with Managers. - Management to identify corrective action. - Members (Cabinet) to approve action, implement effective project management and capital monitoring arrangements - Officer/Member Project Boards -	Monitoring reports	Quarterly
SR 19.06	Create schemes to deliver safety net provisions	Chief Finance Officer	Support for the most vulnerable	DHP/CTS payment schemes	Monitoring reports	Monthly

Covalant – August 2013

CORPORATE RISK REGISTER

SR 25	Adult Social Care Transformation		Owner	AD for Adult Social Care	Adult Services Portfolio		Current Risk Score	B	II	Reviewed	05-Aug-2013

Link to Corporate Priority	Adults maintain their independence and live healthy lives

Vulnerability	Trigger	Consequences
The local population of older people and disabled adults is increasing significantly (Joint Strategic Needs Analysis). Problems in recruiting to key posts would impact on Council's ability to deliver good quality and consistent practice.	Demographic impact	Potentially significant increase in spend on Adult Social Care.

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 25.01	Personal Budgets giving people more choice and control. Commissioning sufficient capacity and a suitably wide range of services to meet need. Prevention, early help and re-ablement services. Close management oversight, and action as required, to manage the budget.	AD for Adult Social Care	Best outcomes for people (as per their support plans) and best value for the Local Authority as statutory body and commissioner. A safe and stable local sector of providers that can meet our local needs and provide high quality care and support to older people, disabled adults and carers.	All clients are offered Personal Budgets/Direct Payments. Joint strategies and commissioning plans with NHS. The Provider Forum engages the sector and assists us to work in partnership in a meaningful and effective way. Monthly scrutiny of budgets at AMT and audits of practice and Personal Budgets/Direct Payments. Management action as required.	Personal Budget target for 2012-2013 = 60%. Re-commissioning of homecare, high cost residential and nursing care. End of year spend within budget Adequate staff in post	Quarterly As per procurement forward plan. Monthly at AMT, quarterly at CADMT and then year-end budget outcome
SR 25.02	Implement new IT system framework		Improved recording and electronic based records	Electronic based recording system	System up and running and fully used. Provisional go live date 1 September 2013	Monthly Project Board

Covalent – August 2013

CORPORATE RISK REGISTER

SR 27	Government changes to Local Authority's responsibility for schools	Owner	Director of Children and Adults	Children's Services Portfolio	Current Risk Score	B	II	Reviewed	Aug-2013

Link to Corporate Priority	Children & Young People in Medway have the best start in life

Vulnerability	Trigger	Consequences
Councils are accountable for the outcome of performance of all schools but have reduced levers for change. There is a new OFSTED framework in place from September 2012 which replaces 'satisfactory' with 'requires improvement'. Any school with 2 consecutive 'requires improvement' will be in a category . Medway currently has 23 schools with 2 consecutive 'satisfactory' inspection ratings and a further 11 with a single, current 'satisfactory' judgement.	A failing OFSTED inspection for a maintained school for whom the Council has a statutory responsibility	- Impact on children and families of being in a school that fails to provide quality provision - Performance ratings as measured through Ofsted reports and Performance tables impact on parental and community confidence. - Financial consequences - The DfE will expect that the school becomes a sponsored academy with further financial consequences to Medway including an expectation that the LA pays the legal costs for the transfer - Damage to reputation - Impact on statutory responsibilities and regulatory judgement - Progress and progression for children & young people are impacted negatively

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 27. 01	School data shows under achievement based on Fisher Family Trust predictions enabling analysis to be made of schools' current grade and enable support to be given. The schools have been risk rated and intervention targeted according to need.	Inclusion & Improvement (AD)	Schools results in line with or exceed nationally expected progress measures.	- School Improvement Team (SI) support schools to identify actions needed to improve pupil progress - Data shows progress to be in line with FFT of similar schools nationally and then to be in upper quartile	- Number of schools below floor threshold reduces - Number of schools in an OFSTED category reduces and remains low.	AD Performance Digest CPR meetings with head and Chair of Governors
SR 27.02	The proportion of schools in Medway with an OFSTED judgement of satisfactory is higher than National and the proportion of schools with good is lower than National	Inclusion & Improvement (AD)	Schools move up from Satisfactory to Good and from Good to Outstanding	- Core SI training developed and delivered in a targeted way - OFSTED preparation in place for Senior Leadership Team (SLT) and Governors - NLES and LLEs linked to schools to give additional experience to draw on for delivering "Good" - Work closely with the teaching school alliances to develop leadership across subject areas	OFSTED judgements place more schools in the Good or Better categories	SI team meetings AD Performance Digest OFSTED Feedback

Covalent – August 2013

CORPORATE RISK REGISTER

SR 30	Delivering Better for Less transformation	Owner	Communications, Performance & Partnerships (AD)	Finance & Deputy Leader's Portfolio	Current Risk Score	B	II	Reviewed	09-Aug-2013

Link to Corporate Priority	Giving Value for Money

Vulnerability	Trigger	Consequences
The Better for Less programme is a council wide transformation programme which is intended to transform the way all council employees work to deliver improvements to customer service as well as making significant savings which are built into the MTFP budget projections for the next 4 years. If the programme is not delivered effectively and on time and in a way that ensures change can be sustained, improvements and savings will not be made.	1. Over emphasis on savings at expense of improvements mean the programme is regarded as another 'savings' programme 2. Savings identified as part of BfL programme are 'overtaken' by other savings or improvement initiatives 3. Delays to programme implementation mean delays to timing of delivery of savings and so provide in year pressures 4. Cultural changes to ways of working are not sustained to deliver continuous improvement 5. Staff supporting BfL process and IT transformation are on short term contracts coming to an end from Sept to March. Resources may not be available to deliver remaining phases	- Additional budget deficit for future years - Requirement to make alternative savings proposals which may have greater impact on frontline services - Services standards drop and growing customer expectations will not be met - Drop in resident satisfaction - Loss of faith by staff in ability of the council to deliver council wide change will impact on any future change initiatives

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 30.02	Detailed definition of the performance gains we expect the programme to deliver being developed.		Shared understanding of what we want to be better, how we will measure that and ultimately delivery of improved performance	BfL measures of success	Performance framework in place for phase 1 and 2 services. Key measures to be reported to members as part of council plan monitoring.	Quarterly by BfL Board and members through council plan monitoring
SR 30.06	Detailed tracking of potential impact of savings options on BfL targets carried out as part of budget setting Mapping of different change initiatives to understand potential impact and coordinate activity	Communications, Performance & Partnerships (AD) / Chief Finance Officer	Minimising duplication in savings targets and impact on frontline service delivery		Budget proposals for 2013/14 do not duplicate or impact on BfL proposals. Delays to the delivery of the programme and deferral of work to review customer contact and administration activity in children's care as the service responds to inspection findings mean that delivery of those savings will be over a longer time period than planned	By BfL Board

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CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 30.08	Develop culture of the organisation to embrace ongoing change and drive for customer focussed service improvement	Communications, Performance & Partnerships (AD); Organisational Services (AD)	Organisation using information and intelligence to drive customer focussed improvement. More collaborative 'one council'	New performance and intelligence hub structure effectively operating. Visibility of performance across 'customer journeys' where accountability is shared across specialist and shared services Leadership development programme	Performance frameworks in place with baseline before each phase of services goes live. Leadership development programme for staff being piloted in 2013	By BfL Board
SR 30.09	Seeking alternative additional savings to compensate for impact on in-year cash-flow	Communications, Performance & Partnerships (AD)	In-year savings forecast delivered		Scoping potential impact of successful delivery of channel shift for high volume call areas as part of phase 3 of implementation	By BfL Board
SR 30.10	Review resource requirement going forward to deliver priority areas of the programme and retain essential skill-sets	Communications, Performance & Partnerships (AD); Organisational Services (AD)	Appropriate skill-set to sustain delivery of required changes and of the CRM system's ongoing development	Costed change plan with clear resource allocation	Plan agreed as part of 2014/5 budget setting	By BfL Board

Covalent – August 2013

CORPORATE RISK REGISTER

SR 32	Norse Implementation	Owner	Legal and Corporate Services (AD)	Finance & Deputy Leader's Portfolio	Current Risk Score	B	2	Reviewed	12-Aug-2013

Link to Corporate Priority			Giving Value for Money						

Vulnerability	Trigger	Consequences
As part of the Better for Less transformation agenda and to ensure flexible and responsive services to address future challenges and changes in corporate priorities and wider environment, the Council are actively working towards outsourcing services. This could lead to disruption to end users as a result of the transition to new delivery models.	a) Providers fail to deliver improved in-scope service performance, compliance and quality. b) The outsourcing solution fails to delivers sustainable cost reductions / value for money	- No direct influence outside of contract management - Damage to reputation. - Negative publicity - Quality of service compromised - Relationship with partners may deteriorate

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
32.01	Robust Procurement processes.	Individual services with support from Category Management Team	Quality services and works that are delivered and better safeguard the authority on statutory, regulatory and reputational issues	Effective partnership arrangements that deliver the Councils vision.	Project teams e.g. for specific projects such as Medway Norse and LSCs are in place	Procurement Board meets every four weeks
32.02	Contract Management arrangements in place.	Individual services with support from Category Management Team	Improve in-scope service performance, compliance and quality	Key performance indicators are delivered.	Medway Norse will report quarterly to a Board and will also be held to account for KPIs to Scrutiny and Cabinet LSCs project will be contract managed by the service	Quarterly meetings with partners. Reports to BfL Board
32.03	Detailed tracking of potential savings options as part of budget setting.	Chief Finance Officer	Transfer of risk management & better cost certainty	Sustainable cost reductions / value for money	Report due to Transformation Board August 2013	Monthly scrutiny of budgets Monthly reports to BfL Board

Covalent – August 2013

CORPORATE RISK REGISTER

SR 04	Performance Management		Owner	Communications, Performance & Partnerships (AD)	Finance & Deputy Leader's Portfolio	Current Risk Score	C	II	Reviewed	12-Aug-2013

Link to Corporate Priority	Giving Value for Money

Vulnerability	Trigger	Consequences
There have been in the past concerns that performance is not consistently managed across the council. The current government has dismantled national corporate performance frameworks and relaxed service inspection and regulation with the notable exception of children's services. This has made the development of an effective council wide performance management framework increasingly vital to ensure that key priorities are delivered efficiently and effectively, a 'one council' approach to improvement is in place, while risks to delivery are appropriately identified and managed.	The council fails to embed a robust performance management system	• The Council is not clear on what it wants to achieve so cannot demonstrate difference it is making to the public • Customers do not receive the services they need • Not getting Value for Money or able to evidence it • Provides no evidence of outcomes from the organisations allocation of resources • Does not prevent misallocation of resources due to flawed decision making • Cannot inform future risk management (e.g. high risk external inspections). • Is unable identify and capitalise on organisational best practice

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR.04.09	Implement new Performance Management Framework (PMF) to streamline process, whilst ensuring a robust and consistent approach across the Medway Council.	Communications, Performance & Partnerships (AD)	An embedded performance management culture that makes evidence based decisions.	Consistent, effective performance management processes, across the council	Sept 13 – Submission of PMF proposal to CMT Oct 13 – Development of policies with P&I hubs March 14 – Implementation of new framework October 14- Review of PMF's application and impact	Quarterly by PIMM

CORPORATE RISK REGISTER

SR 13	Equality and diversity		Owner	Communications, Performance & Partnerships (AD)	Finance & Deputy Leader's Portfolio	Current Risk Score	C	II	Reviewed	12-Aug-2013

Link to Corporate Priority		Putting our customers at the centre of everything we do

Vulnerability	Trigger	Consequences
Ensuring the council complies fully with its duties under equalities legislation to carry out diversity impact assessments. Public sector spending cuts allied with the passing of the Equality Act 2010, increase the profile of equalities issues and the potential for claims, including court action, if DIA processes are not rigorous or given appropriate consideration in decision making. The effectiveness of DIAs is dependent upon services routinely gathering equalities data about the patterns of usage of their service and the difference they make and using data and intelligence to inform impact assessments.	A case is brought and the council is found to have failed its duties under equalities legislation	Cost to go to a tribunal Not meeting people's needs Financial liability / court action Seen as a poor employer Loss of reputation Adverse inspection for children and adults services

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 13.05	New operating arrangements for performance and intelligence hubs created as strand of better for less are seeking to further mainstream equalities into customer insight and business planning	Communications, Performance & Partnerships (AD)	Services routinely gather equalities information and carry out effective impact assessment to identify and deliver any necessary mitigations if potential adverse impact is identified	New operating structures and procedures to continue to improve quality of equalities information collected and used.		Quarterly with post implementation review in 12 months
SR 13.06	External Review of equalities activity and the effectiveness of our current governance arrangements	Communications, Performance & Partnerships (AD)	Incorporate any areas identified for improvement as the basis of A Corporate Equalities action plan.	Seven key themes identified for improvement. This will lead to new processes, tools and procedures to continue to improve, coordination, consistency and quality of equalities activity across the organisation.	August 2013 - Paper to CMT March 2014 – Implementation of action plan October 2014 – Review of action plan outcomes	Quarterly

CORPORATE RISK REGISTER

SR 21	Procurement and Tendering		Owner	Legal and Corporate Services (AD)	Finance & Deputy Leader's Portfolio		Current Risk Score	C	II	Reviewed	12-Aug-2013

Link to Corporate Priority	Giving Value for Money

Vulnerability	Trigger	Consequences
Procurement processes are not consistently applied across the council.	- Complaints/challenge from tenders to procurement decisions. - Audit reviews reveal weaknesses	- Legal challenges - Negative publicity - Council does not achieve value for money - Damage to reputation - Increased costs of purchasing services - Not achieving cost efficiencies - Overspend on budget allocation - Failing to achieve Members' expectations - Failing to achieve statutory responsibilities

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 21.01	Member chaired Procurement Board with the Council's Monitoring officer responsible for the strategic procurement direction that meets every four weeks	Legal and Corporate Services (AD)	To deliver the Procurement Strategy	Procurement Board meets every four weeks	On-going	Every 4 weeks
SR 21.02	Forward Procurement Plans in place for each category theme (people, place and corporate)	Category Management	Timely commencement of procurement ensuring contracts are in place	Plans monitored by the Procurement Board every 4 weeks.	Taken over by Category Management team after "go-live" in December 2012	Every 4 weeks
SR 21.03	Create a corporate contracts register	Category Management	A contracts register that records all contracts currently in place and date due to finish	Exploration of methods to collect data to populate register	On-going	Procurement Board strategic oversight with Category Management team day-to-day management.
SR 21.04	Review of procurement processes	Category Management	To ensure processes continue to be fit for purpose e.g. enable SMEs to access procurement opportunities, promote social value and deliver corporate targets such as opportunities for disabled workers, care leavers and ex-armed service personnel	- Refreshed Procurement Policy - Procurement process chart; - Refreshed procurement intranet, website/portal; - Refreshed Terms and Conditions and Tender documentation	On-going ,with next review scheduled March 2013 (Procurement Board) Draft Procurement Strategy due to be agreed at September 2013 Cabinet Intranet and documents refreshed August 2013	Managed by the Category Management Team through client engagement and the Procurement Board as part of a 4 weekly review

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CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 21.05	Training in revised procurement procedures	Category Management	All staff involved in procurement will understand and be able to use revised procurement processes and procedures	Training will be devised and developed to reflect new procedures introduced through the new category management processes. Emphasis on self-serve through intranet site	Draft training strategy March 2013	On-going
SR 21.06	BfL Board and Procurement Board	Category Management	Category Management delivered across organisation through classification of spend within Integra to industry standard classification system, against which expenditure analysis and compliance assessment can be undertaken	Cashable savings through 4 x Strategic Sourcing Plans. High client satisfaction with Category Management Team. Fewer exemption requests. Evidence of more SMEs accessing procurements Benchmarking work re reduction in supplier base.	4 SSPs agreed. 1 (Homecare) delivered in excess of savings target 3 Heads of Category Management appointed. Further recruitment for remaining team continuing with 16 out of 22 in post. Go live occurred 1 December 2012. Exemptions down from 36 in 11/12 to 19 in 12/13 .	On-going

CORPORATE RISK REGISTER

SR 31	Public Health Transition		Owner	Director of Public Health	Adult Services Portfolio		Current Risk Score	C	II	Reviewed	12-Aug-2013
Link to Corporate Priority		Putting our customers at the centre of everything we do									

Vulnerability	Trigger	Consequences
The Council will have new public health responsibilities from April 2013 which will involve the transfer of staff, contracts and functions from Medway PCT. Lack of clarity from DH regarding details of health protection duties and the Council's responsibility. Failure to realise benefits to population of Health and Social Care Act e.g. integrated approach to commissioning and service delivery; local authority impact on wider determinants of health.	Ineffective implementation of changes related to the Health and Social Care Act 2012	- Failure to meet statutory duties - Unforeseen in year spending pressures. - Loss of staff with specialist skills - Risks to prevention and management of public health incidents - Increase demand on health and social services - Health and social care services less efficient and do not meet needs - Failure to implement Public Health programmes - Negative publicity

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 31.02	Establish current spend within public health portfolio coming to Council and associated contract details.	Director of Public Health	Public health responsibilities funded within PH grant.	Reconciliation of grant against future PH responsibilities of the Council and action agreed to minimise risk. Agreement with Medway Commissioning Group (MCG)/national Commissioning Board on future funding responsibilities e.g. block contracts for funding some services.		On-going
SR 31.03	Ensure effective engagement of the Medway Commissioning Group (MCG) in Medway partnerships e.g. Health and Wellbeing Board (HWB), Medway Safeguarding Children Board (MSCB), Children's Trust	Director of Public Health	All members engage in pre-shadow HWB to establish and deliver Joint Health and Wellbeing Strategy	JHWS action plan which supports delivery of strategy.	Four development sessions held with HWB prior to establishment of shadow HWB. Development programme for HWB planned for 2013/14.	Quarterly

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CORPORATE RISK REGISTER

SR 02	Business continuity and emergency planning	Owner	Director of Regeneration, Community and Culture	Community Safety and Customer Contact	Current Risk Score	D	II	Reviewed	08-Aug-2013

Link to Corporate Priority	Putting our customers at the centre of everything we do

Vulnerability	Trigger	Consequences
Duties under the Civil Contingencies Act require Councils to have an Emergency Plan. The Emergency Management and Response Structure may not be robust enough to respond to a major emergency.

Every business activity is at risk of disruption from a variety of threats, which vary in magnitude from catastrophic through to trivial, and include pandemic flu, fire, flood, loss of utility supplies and accidental or malicious damage of assets or resources. | A significant adverse event occurs and the Council is found wanting or negligent in its planning and/or operational response | Response to event is not rapid, adequate nor effective.
Lack of clear communication lines
Essential service priorities not clearly understood.
Communication between agencies and the public is poor.
Residents expect more from their Council
Local press quick to seize issue.
Comparisons made with other local authorities and resilience groups
A death, or deaths, in the community
Legal challenge under the 'Civil Contingencies Act 2004' |

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 02.01	Continue to develop the Council's Emergency Plan	Director of Regeneration, Community and Culture	- Revised plan agreed by CMT
- Continued engagement with Kent Resilience Forum
- Staff trained in emergency response management	- Existing plan in place - Programme of on-going review of COMAH plans - Emergency response operations room in place	- Draft plan update in place
- Relevant staff training during 2013	On-going
SR 02.02	Business continuity plans completed to implement the actions	Director of Regeneration, Community and Culture	All services will have an up-to-date and tested Business Continuity Plan	- BCM Policy agreed;
- BCM principles and project aims communicated to divisional management teams across the Council.
- A Corporate Recovery Plan
- IT Recovery Plan in place;
- Draft flu plans in place
- Winter preparedness plans in place	Plans tested.	Quarterly reports to Strategic Risk Management Group

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CORPORATE RISK REGISTER

SR 22	Treasury Management	Owner		Chief Finance Officer	Finance & Deputy Leader's Portfolio		Current Risk Score	D	II	Reviewed	08-Aug-2013

Link to Corporate Priority			Giving Value for Money								

Vulnerability	Trigger	Consequences
a) The Council could lose money as happened to other local authorities when financial institutions fail. b) Unexpected changes in interest rates.	Loss of resources due to external events beyond the Council's control	- Loss of resources - Damage to reputation. - Negative publicity - VFM Judgement jeopardised - Increased pressure on existing resources - Reduction/cuts to services - Quality of service compromised - Relationship with partners may deteriorate

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 22.02	Review the treasury management strategy and performance	Chief Finance Officer	Recommend changes to the strategy as and when necessary in order to maintain a high level of stewardship of the Council's funds	The Outturn report in June. Mid-year report in November. Strategy in February. Monthly budget monitoring reports.	- Cost of external debt. - Breaches of policy - Interest earnt on investments.	June (Outturn), November Mid-year and quarterly budget monitoring.
SR 22.03	Monitoring reports and regular review by members in both executive and scrutiny functions	Chief Finance Officer	To ensure that those with responsibility for the treasury management function appreciate the implications of treasury management policies and activities, and that those implementing policies and executing transactions have properly fulfilled their responsibilities with regard to delegation and reporting	• Enhanced member involvement, understanding, responsibility and scrutiny. • Continue training for officers and members	Member training carried out February 2010 and November 2010. On-going officer training	As & when required