

CORPORATE RISK REGISTER

RISK MATRIX - STRATEGIC PROFILE FOR JULY 2014

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

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SR 03b	Finances	Owner	Chief Finance Officer	Finance & Deputy Leader's Portfolio	Current Risk Score	A	I	Reviewed	August 2014
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger		Consequences				
<p>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 2014/15 confirmed a further 9.6% cut in grant support with a further cut of 13.6% in 2015/16. The Autumn Statement in December 2013 also announced that the austerity regime would continue post the 2015 election with a further £25 billion of public spending cuts. It is now widely expected that the current £52 million of revenue support grant (2014/15) will cease to exist in 5 years' time. £12 billion of the £25 billion cut is being suggested to come from welfare support.</p>			<p>The Chancellors Autumn Statement in December 2013 and the Financial Settlement for 2014-2016 have confirmed that the Public Sector and LA's in particular will continue to face an austerity regime well beyond the election in 2015.</p> <p>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. The visible effect of this is difficult to quantify with rent arrears reduced and the new Council Tax Reduction Scheme producing higher than expected collection rates. However homelessness applications have risen although arguable this would have happened anyway.</p>		<input type="checkbox"/> Very difficult decisions around funding allocation <input type="checkbox"/> Service cuts <input type="checkbox"/> Quality of service compromised. <input type="checkbox"/> Cutback in staffing on an already lean organisation <input type="checkbox"/> VFM Judgement <input type="checkbox"/> Negative local publicity. <input type="checkbox"/> Damage to reputation.				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring			
SR 03b.01	Need to ensure effective response/lobbying to Government 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. On-going for 2014-2016.	Six 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			
SR 19.06	Create schemes to deliver safety net provisions	Chief Finance Officer	Support for the most vulnerable	Discretionary Housing Payments / Council Tax Support payment schemes	Monitoring reports	Monthly			

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	August 2014
Link to Corporate Priority		Children & Young People in Medway have the best start in life							
Vulnerability			Trigger		Consequences				
<p>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 resources.</p> <p>Increased expectations by Regulator in relation to standard of care and provision provided.</p> <p>Challenges in recruiting to key posts would impact on the Council's ability to deliver good quality and consistent practice.</p>			<p>Numbers of children in care and those with high level child protection needs increase.</p> <p>Increased caseloads impact on quality of work being undertaken with children in need, including the need for protection and looked after children.</p> <p>Partner agencies not fulfilling their role in supporting the most vulnerable.</p>		<p>- Budget pressures with consequences across the Council.</p> <p>- 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.</p> <p>- Poorer outcomes for children and young people.</p> <p>- Impact on statutory responsibilities and regulatory judgement.</p>				
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.	Permanent staff numbers	As per strategy and plan.	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 26.04	Implementation of the Children's Social Care Quality Audit Framework	Children's Social Care (AD), Deputy Director for Children and Adults	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.	Reviewed monthly			
SR 26.05	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.	CADMT & MSCB			

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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	August 2014
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.		<input type="checkbox"/> Poorer outcomes for children and young people. <input type="checkbox"/> Budget pressures with consequences across the Council. <input type="checkbox"/> 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)	Improved outcomes for C&YP as per strategy. Ensuring service delivered within budgetary constraints	Strategy adopted by Cabinet 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 quarterly.			
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. Development of intensive interventions that can 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 an 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. 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).			

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SR 25	Adult Social Care Transformation	Owner	Deputy Director, Children & Adults	Adult Services Portfolio	Current Risk Score	B	II	Reviewed	August 2014
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, POPPI and PANSI intelligence.			Demographic impact		Potentially significant increase in spend on Adult Social Care.				
Code	Description	Managed By	Desired Outcome	Output	Milestones/Pis	Monitoring			
SR 25.01	<p>Personal Budgets giving people more choice and control.</p> <p>Commissioning sufficient capacity and a suitably wide range of services to meet need.</p> <p>Prevention, early help and re-ablement services.</p> <p>Close management oversight, and action as required, to manage the budget.</p>	Deputy Director, Children & Adults	<p>Best outcomes for people (as per their support plans) and best value for the Local Authority as statutory body and commissioner.</p> <p>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.</p>	<p>All clients are offered Personal Budgets/Direct Payments.</p> <p>Joint strategies and commissioning plans with NHS.</p> <p>The Provider Forum engages the sector and assists us to work in partnership in a meaningful and effective way.</p> <p>Monthly scrutiny of budgets at AMT and audits of practice and Personal Budgets/Direct Payments. Management action as required.</p>	<p>Personal Budgets performance as per KPI.</p> <p>Category Management project on high cost placements.</p> <p>End of year spend within budget.</p> <p>Dynamic Purchasing System.</p>	<p>Monthly.</p> <p>As per star chamber and procurement forward plan.</p> <p>Monthly at AMT and quarterly at CADMT.</p> <p>Gateway process as per procurement forward plan.</p>			

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SR 27	Government changes to Local Authority's responsibility for schools	Owner	Director of Children and Adults	Children's Services Portfolio	Current Risk Score	C	II	Reviewed	August 2014
Link to Corporate Priority		Children & Young People in Medway have the best start in life							
Vulnerability			Trigger		Consequences				
<p>Councils are accountable for the outcome of performance of all schools but have reduced levers to drive action and change.</p> <p>The new OFSTED framework replaces 'satisfactory' with 'requires improvement'. Any school with 2 consecutive 'requires improvement' will be in a category.</p>			<p>A failing OFSTED inspection for a maintained school for whom the Council has a statutory responsibility.</p>		<ul style="list-style-type: none"> - 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.	<ul style="list-style-type: none"> - 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. 	<ul style="list-style-type: none"> - Number of schools below floor threshold reduces - Number of schools in an OFSTED category reduces and remains low. 		<p>AD: performance digest</p> <p>CPR meetings with head and Chair of Governors</p>		
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	<ul style="list-style-type: none"> - 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. 	<p>OFSTED judgements place more schools in the Good or Better categories.</p>		<p>SI team meetings</p> <p>AD: performance digest</p> <p>OFSTED liaison</p>		

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SR 30	Delivering Better for Less transformation	Owner	Communications, Performance & Partnerships (AD)	Finance & Deputy Leader's Portfolio	Current Risk Score	B	II	Reviewed	August 2014
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger		Consequences				
<p>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.</p>			<ol style="list-style-type: none"> 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 		<ul style="list-style-type: none"> - 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.	Communications, Performance & Partnerships (AD)	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. New council plan measures for 14/15 includes overall satisfaction with the council		Quarterly by BfL Board and members through Council Plan monitoring		
SR 30.06	<p>Detailed tracking of potential impact of savings options on BfL targets carried out as part of budget setting.</p> <p>Mapping of different change initiatives to understand potential impact and coordinate activity.</p>	Communications, Performance & Partnerships (AD) / Chief Finance Officer	Minimising duplication in savings targets and impact on frontline service delivery.	Savings delivered.	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. A review of savings potential for remaining phase of the programme and costs of delivery has been prepared to maximize		By BfL Board		

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Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
					delivery of remaining savings targets. Inevitably as original targets were set in 2011, other more recent changes in services has meant that some savings are no longer achievable.	
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)	<p>Organisation using information and intelligence to drive customer focussed improvement.</p> <p>More collaborative 'one council'.</p>	<p>New performance and intelligence hub structure effectively operating.</p> <p>Visibility of performance across 'customer journeys' where accountability is shared across specialist and shared services.</p>	Performance frameworks in place with baseline before each phase of services goes live.	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.	Alternative savings plans.	Scoping potential impact of successful delivery of channel shift for high volume call areas as part of phase 3 of implementation. Business case for further channel shift to be developed	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

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SR 32	Medway Norse Implementation	Owner	Legal and Corporate Services (AD)	Finance & Deputy Leader's Portfolio	Current Risk Score	B	II	Reviewed	06-Feb-2014
Link to Corporate Priority			Giving Value for Money						
Vulnerability			Trigger			Consequences			
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 Council's vision.	Operational multi-disciplinary teams for monitoring Medway Norse now in place. Client function has been carried out by Category Management. Due to transfer to Property Services.	Procurement Board meets every four weeks. Portfolio Holder holds regular "Category Management" briefings with Medway Norse as a standing item.			
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 reports quarterly to a Board and has also been held to account for KPIs to Scrutiny and Cabinet.	Quarterly management meetings between Medway Norse and Council. Business Support Overview & Scrutiny. Cabinet .			
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.	Reporting to Portfolio Holder on regular basis. Reports to Overview and Scrutiny. Reporting to Cabinet	Monthly scrutiny of budgets. Monthly reports to Portfolio Holder.			

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SR 04	Performance Management	Owner	Communications, Performance & Partnerships (AD)	Finance & Deputy Leader's Portfolio	Current Risk Score	C	II	Reviewed	August 2014
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger		Consequences				
<p>There have been in the past concerns that performance is not consistently managed across the Council. The government has dismantled national corporate performance frameworks and relaxed service inspection and regulation with the notable exception of children's services.</p> <p>This has made the development of an effective Council wide performance management processes 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.</p>			The Council fails to embed a robust performance management system.		<ul style="list-style-type: none"> • 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 to identify and capitalise on organisational best practice. 				
Code	Description	Managed By	Desired Outcome	Output	Milestones/Pis		Monitoring		
SR 04.09	Review and develop existing Performance Management processes, 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.	<p>February 14 – Review and refresh Council Plan Indicators and Key Projects for 2014-15.</p> <p>March 14 – Refresh of Service Planning processes, linked to new HR performance development review policy.</p> <p>July 14 - Development of Council Plan Quarterly Monitoring Process (including links to Finance).</p>		Quarterly		

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SR 13	Equality and diversity	Owner	Communications, Performance & Partnerships (AD)	Finance & Deputy Leader's Portfolio	Current Risk Score	C	II	Reviewed	August 2014
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.			<input type="checkbox"/> Cost to go to a tribunal. <input type="checkbox"/> Not meeting people's needs. <input type="checkbox"/> Financial liability / court action. <input type="checkbox"/> Seen as a poor employer. <input type="checkbox"/> Loss of reputation. <input type="checkbox"/> 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.	New operating structures in place	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.			
SR 13.07	Develop stronger links between Star Chamber process and the creation of DIAs for budget proposals.	Communications, Performance & Partnerships (AD) and Finance	Ensure that all final stage budget proposals can demonstrate that any Equalities Impact has been given due consideration and has identified potential risks and mitigations.	New requirements to submit DIAs to Corporate Performance Hub via Finance as part of the final stage of budget proposals.	April 2014 - Agree process with Finance September 2014 - Inform Assistant Directors of amendments to Budget planning process October 2014- Implement new process January 2015 - review DIAs submitted	Annual.			

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SR 17	Delivering regeneration	Owner	Director of Regeneration, Community and Culture	Leader's Portfolio	Current Risk Score	C	II	Reviewed	Feb-2014
Link to Corporate Priority		Everyone Benefitting from the Areas Regeneration							
Vulnerability			Trigger		Consequences				
<p>Medway's regeneration plans to regenerate the area with 30,000 people to Medway up to 20,000 jobs and 17,000 new homes in the next 20 plus years.</p> <p>There are challenges for the provision and maintenance of effective infrastructure. Particular areas of concern are flood protection, highways and water capacity.</p> <p>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.</p>			The Council fails to achieve the economic, social and infrastructure regeneration agenda		<input type="checkbox"/> Regeneration projects not completed <input type="checkbox"/> Potential damage to Council's reputation <input type="checkbox"/> Not able to meet member, government and the public's expectations <input type="checkbox"/> Deteriorating physical and infrastructure assets <input type="checkbox"/> Investment wasted <input type="checkbox"/> Young people are not catered for in the 'new world' <input type="checkbox"/> Low skills base among some residents remains <input type="checkbox"/> Disconnect between skills and employment opportunities <input type="checkbox"/> Maintenance of low aspiration culture <input type="checkbox"/> Increased commuting and pressure on transportation <input type="checkbox"/> 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	Identification of inward investment priorities.	Progressing 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 developers 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	Quarterly			

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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.	<u>Growing Places Fund (GPF)</u> : £4.4m Rochester Riverside; £2.99m Chatham Waterfront. <u>TIGER (Thames Gateway Innovation, Growth and Enterprise)</u> £20ml for North Kent and Thurrock for business loans and grants. £4ml for Strood Flood Defences (Public Works Loan Board). £29m Local Growth Funding from the Local Enterprise Partnership	As detailed in individual delivery plans	Quarterly

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SR 19	Down-turn in the economy	Owner	Chief Executive	Finance & Deputy Leader's Portfolio	Current Risk Score	C	II	Reviewed	August 2014
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger		Consequences				
<p>A continual down-turn in economic conditions would impact upon the Council's ability to:</p> <p>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.</p> <p>b) deliver the capital programme with reduced receipts.</p> <p>c) balanced budgets with reduced income through fees and charges.</p> <p>d) take forward Medway's regeneration agenda.</p>			<p>A worsening global economic climate that impacts upon Medway - recession.</p> <p>Welfare Benefit reforms, could have a significant effect on vulnerable individuals and families who could see a 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.</p>		<ul style="list-style-type: none"> - 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 Regeneration Team	Director of Regeneration, Community and Culture	Performance indicators on downturn.	<ul style="list-style-type: none"> - 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. 	<ul style="list-style-type: none"> - 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.	<ul style="list-style-type: none"> - Loans at 0% interest; - Creation of new sustainable jobs - A successful local business given funding 	<ul style="list-style-type: none"> - 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			

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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	<ul style="list-style-type: none"> - 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	Discretionary Housing Payments / Council Tax Support payment schemes	Monitoring reports	Monthly

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	06-Feb-2014
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger		Consequences				
Procurement processes are not consistently applied across the Council.			<ul style="list-style-type: none"> - Complaints/challenge from tenders to procurement decisions. - Audit reviews reveal weaknesses. 		<ul style="list-style-type: none"> - 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.	Completion of this work is well advanced with proposals for the register to be linked to our e-procurement facility.	Procurement Board strategic oversight with Category Management team day-to-day management.			

CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
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. To ensure that health and safety requirements are met by contractor prior to award of contract and that there are review places to ensure the Council has assurance that these are in place.	<ul style="list-style-type: none"> - Refreshed Procurement Policy - Procurement process chart; - Refreshed procurement intranet, website/portal; - Refreshed Terms and Conditions and Tender documentation. - PQQs / ITT stage of procurement to ensure H&S policy exists. Gateway 4/5 reports to provide assurance that H&S policy are followed. 	New Procurement Strategy approved by Cabinet September 2013. Amendments to Contract Procedure Rules approved by Council July 2013. 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.
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.	Training strategy developed and being implemented	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.	<ul style="list-style-type: none"> 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. Agency SSP on course to deliver target savings. 3 Heads of Category Management appointed. Go live of team occurred 1 December 2012. Restructure proposal after year 1 to strengthen team. Exemptions down from 36 in 11/12 to 19 in 12/13 and down to 11 in 13/14. New SSPs to be developed to assist the 15/16 budget pressures.	On-going

CORPORATE RISK REGISTER

SR 31	Public Health Transition	Owner	Director of Public Health	Adult Services Portfolio	Current Risk Score	C	II	Reviewed	9-July-2014
Link to Corporate Priority Putting our customers at the centre of everything we do									
Vulnerability			Trigger		Consequences				
<p>The Council has had new public health responsibilities from April 2013 which involved the transfer of staff, contracts and functions from Medway PCT. Further transfer of public health responsibilities for 0-5 public health commissioning in Oct 15.</p> <p>Failure to realise benefits to population of Health and Social Care Act e.g. integrated approach to health and social care commissioning and service delivery; local authority impact on wider determinants of health.</p>			<p>Ineffective implementation of changes related to the Health and Social Care Act 2012.</p>		<ul style="list-style-type: none"> - Failure to meet statutory duties. - Unforeseen in-year spending pressures. -Risk to procurement processes. - 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 and greater demand on health and social care 				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs		Monitoring		
SR 31.02	Establish where there is a mismatch between budget transfer and commissioning responsibility.	Director of Public Health	Agreement with partners on ongoing responsibility for payment.	Signed agreement with partners and ongoing issues raised with DH.	Identification and quantification of budget issues. Identification of measures to address these on a case by case basis		On-going		
SR 31.03	Ensure safe transition of 0-5 public health commissioning responsibilities.	Director of Public Health	Effective transfer of commissioning responsibility.	Agreement on financial resource to be transferred, contracts novated, new commissioning arrangements embedded. Work with NHS England to co commission service prior to transfer.	Milestones as per national transition programme with NHS England.		On going		

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	10-Feb-2014
Link to Corporate Priority		Putting our customers at the centre of everything we do							
Vulnerability			Trigger		Consequences				
<p>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.</p> <p>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.</p>			A significant adverse event occurs and the Council is found wanting or negligent in its planning and/or operational response		<input type="checkbox"/> Response to event is not rapid, adequate nor effective. <input type="checkbox"/> Lack of clear communication lines <input type="checkbox"/> Essential service priorities not clearly understood. <input type="checkbox"/> Communication between agencies and the public is poor. <input type="checkbox"/> Residents expect more from their Council <input type="checkbox"/> Local press quick to seize issue. <input type="checkbox"/> Comparisons made with other local authorities and resilience groups <input type="checkbox"/> A death, or deaths, in the community <input type="checkbox"/> 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	<ul style="list-style-type: none"> - Revised plan agreed by CMT - Continued engagement with Kent Resilience Forum - Staff trained in emergency response management 	<ul style="list-style-type: none"> - Existing plan in place - Programme of on-going review of COMAH plans - Emergency response operations room in place 	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - 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			

CORPORATE RISK REGISTER

SR 22	Treasury Management	Owner	Chief Finance Officer	Finance & Deputy Leader's Portfolio	Current Risk Score	E	II	Reviewed	10-Feb-2014	
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				<ul style="list-style-type: none"> - 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.	<ul style="list-style-type: none"> - Cost of external debt. - Breaches of policy - Interest earned 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	<ul style="list-style-type: none"> • 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				