

CORPORATE RISK REGISTER

RISK MATRIX - STRATEGIC PROFILE FOR JULY 2015

Likelihood ↑	A		26	3b
	B		9b, 25	
	C		4, 13, 17, 27, 28, 21, 31	
	D		2, 32	
	E			
	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	Leader's Portfolio	Current Risk Score	A	I	Reviewed	July 2015
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger		Consequences				
The ongoing reductions in revenue support grant over the medium term, together with continued demographic pressures facing both services for children and adult social care means that the risks to the Council's budget remain significant. This is exacerbated by the uncertainty over future settlements. Government reform of the welfare system also continues at pace and the impact on vulnerable people and families brings with it risks to the Council in terms of the demand for services.			The Chancellors budget announced on 8 July 2015 confirmed the continued reduction in revenue support grant over the medium term, as well as announcing further changes as part of the programme of welfare reform. The grant reductions already feature in the Council's MTFP, but work is needed to evaluate the impact of the welfare reforms on the people of Medway and the consequent implications for the Council in terms of CTRS, housing, social care and welfare provision.		<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 to the spending review, but also lobbying for greater local powers to raise revenues.	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 budget control. Increased devolution of tax raising powers to the Council.	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 2014 to February 2015 for 2015/2016 budget and council tax. On-going for 2016-2017.	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			

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SR 26	Children's Social Care	Owner	Director of Children and Adults	Children's Services Portfolio	Current Risk Score	A	II	Reviewed	July 2015
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>		<ul style="list-style-type: none"> - Budget pressures 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. - 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.	Permanent staff numbers.	As per strategy and plan.	Reviewed monthly via Children's Improvement Board			
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.	CSCMT, CADMT & Corporate Parenting Board and Children's Improvement Board			
SR 26.04	Implementation of the Children's Social Care Quality Assurance Framework	Deputy Director for Children and Adults	Good quality and consistent practice.	Learning and thematic Audits and other quality assurance tasks are completed as per the QA framework.	The learning points from completed auditing activity are aggregated so as to inform learning.	Reviewed bi monthly in line with QA framework schedule			
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			
SR 26.06	Implementation of projects to better manage demand around edge of care and early help.	Partnership Commissioning (AD), Children's Social Care (AD)	Safely reduce C&YP entering and staying in the care system.	Edge of care response. Early help.	Reduced demand for CSC services.	Council plan monitoring CSCMT, CADMT, and Children's Improvement Board			

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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	July 2015
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	The additional demands of the SEND reforms and increase in the number of children with complex needs places significant pressures on the DSG High Needs Block	School Effectiveness and Inclusion (AD)	Improved outcomes for C&YP as per strategy. Ensuring service delivered within budgetary constraints.	Good management information to inform commissioning and robust challenge. Provision made within budget.	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.	School Effectiveness and Inclusion (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 intern working with the Council to spec different alternatives to custody. That piece of work will be completed by end of April.	The improved outcomes, confidence of YJB and partners, and the security of the monitoring arrangements by the YOT management board indicate a strong service which can respond to any expected changes. Consequently, it is recommended that this risk be removed from the register			
SR 09b.06	A comprehensive strategy in place to ensure that partner agencies work cooperatively to identify and deal with CYP	Deputy Director, Children & Adults	- Ensure that we have a comprehensive strategy in place for CSE and missing. - All professionals working	Comprehensive joint K & M LSCB strategy for CSE has been signed by the MSCB and missing protocols in place via CSC	The K & M CSE strategy is being reviewed to incorporate recent recommendations and findings to inform the CSE Strategic	Kent & Medway CSE Subgroup MSCB MASE Panel			

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	<p>who are identified as, or at risk of becoming, victims or perpetrators of CSE and missing.</p> <p>All professionals, voluntary groups and the wider community including hard to reach groups are aware of, and have an understanding of CSE and missing.</p> <p>Establishment of CSE Unit alongside police – multi agency co located to manage CSE in Medway</p>		<p>directly with CYP have an understanding and knowledge of CSE and missing; and develop appropriate skills.</p> <p>- Increase the awareness and understanding of CSE and missing by all professionals, voluntary groups, wider community including hard to reach groups.</p> <p>Improvement of identification, prevention, support disruption and prosecutions</p>	<p>Multi agency and single agency approved consistent training is completed by all staff.</p> <p>All child protection courses make direct reference to CSE and missing</p> <p>Awareness raising campaign agreed and implemented.</p> <p>Co location of social worker managed by CSE Operational lead within co location with police MASE Group and Risk management panel</p>	<p>action plan.</p> <p>Any review will be signed by the MSCB in the forward plan</p> <p>All relevant staff complete available CSE training.</p> <p>Case management systems capable of recording CSE cases.</p> <p>Analysis and identification of victims through data analyst within CSE Unit; social work pathways for identified victims; themes and early identification to safeguard young people in Medway</p>	<p>(Strategic)</p> <p>MSCB/Workforce development</p> <p>P & I /CSC AD</p> <p>MSCB</p> <p>MASE</p>
<p>SR 09b.07</p>	<p>A comprehensive strategy in place to ensure that partner agencies cooperate to identify and deal with CYP who are identified as, or at risk of becoming, victims or perpetrators of CSE, missing, have been radicalised or are at risk of radicalisation.</p> <p>Other professionals and community groups have an understanding and an awareness of the Governments Prevent agenda</p>		<p>An area wide group – Community Safety Partnership, Medway YOT Board and MSCB - co-ordinates and monitors Prevent work.</p> <p>Vulnerable young people are safeguarded and risks to the community are minimized</p> <p>Medway agencies share information on vulnerable young people at risk of radicalisation.</p>	<p>Prevent training and awareness is provided to all key staff, schools and governors.</p> <p>Child Protection courses cover the risk of radicalisation</p> <p>Community groups are offered training to raise awareness of the Prevent agenda and to identify young people who might be at risk of radicalisation.</p>	<p>- By December 2015</p> <p>- From January 2016</p> <p>- From January 2016</p>	<p>By YOT Board or Community Safety Partnership and MSCB</p> <p>MSCB</p> <p>MSCB</p>

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SR 25	Adult Social Care Transformation	Owner	Deputy Director, Children & Adults	Adult Services Portfolio	Current Risk Score	B	II	Reviewed	July 2015
Link to Corporate Priority		Adults maintain their independence and live healthy lives							
Vulnerability			Trigger		Consequences				
<p>The local population of older people and disabled adults is increasing significantly - Joint Strategic Needs Analysis, POPPI and PANSI intelligence.</p> <p>New responsibilities for the LA resulting from the Care Act will increase pressure on Adult Social Care services.</p> <p>The ambition of the Better Care Fund (BCF) is to describe Medway's potential for the integration of Adult health and social care and then to deliver the agreed integration.</p> <p>The achievement of these ambitions represents a significant challenge to the local authority and our health partners (The Council only controls a small proportion of the system, alongside the CCG and Medway Foundation Trust).</p> <p>There is a risk that the changes needed across the system will take longer to implement than our current ambitions state.</p>			<p>Demographic impact.</p> <p>Care Act implementation in April 2015.</p> <p>The current timeframe for BCF is to have described the roadmap for integration by 31 March 2017.</p> <p>Whilst the overall national ambition for integration remains same, the priorities and timescales for delivery within that overall ambition may shift at a national level. Uncertainty around national policy and budget in relation to integration/NHS/Council</p>		<p>Potentially significant increase in spend on Adult Social Care.</p> <p>Potential impact on ASC resources.</p> <p>Potential risk around supporting wider health economy.</p>				
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> <p>Council plan monitoring –</p>			

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Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
	New responsibilities arising from Care Act, for example, providing assessments and services for carers and self funders.			Implementation of Care Act changes.		implementation of Care Act is a key project.
SR 25.02	Deprivation of Liberty Safeguards (DoLS) post Cheshire West judgement, resulted in a rapid increase in the number of applications for DoLS, challenging several parts of the system – administration, Best Interest Assessors, Advocacy services. Risk of legal challenge and breaching statutory timeframes.	Deputy Director, Children & Adults	People in a care home or hospital are not deprived of their liberty illegally.	DoLS applications to Medway as a Supervisory Body are processed and assessments carried out within timeframes.	Setting up of Medway DoLS office – complete. Communication to care homes and other relevant settings to ensure compliance with the Mental Capacity Act 2005. Recruitment and training of the required number of Best Interest Assessors.	Breaches monitored weekly. Updates to AMT. DH Quarterly monitoring report. DH annual statutory return.
SR 25.03	Risk that the introduction of the Care Act 2014 will result in a significant rise in the cost of provision and implementation costs from April 2020. Still too early to tell what impact will be on current social care budgets or plans.	Deputy Director for Children and Adults	To be care act compliant in line with national timescales.	Introduction of a cap on the costs of care, means testing and new appeals process	Phase 2 of Care Act from April 2020 Note: The original implementation date for phase 2 was April 2016. The Care and Support Minister announced in July 2015 that the cap will now be delayed until April 2020. Full modelling and financial implications have not yet been undertaken. The final statutory regulations and guidance are not however expected until October 2015.	We have undertaken an initial impact assessment of the effects of the Care Act, are carrying out further financial modelling and will continue to refine our assumptions as we develop our final Better Care Fund response.
SR 25.04	Shifting of resources to fund new joint interventions and schemes might destabilise current service providers, particularly in the acute sector	Assistant Director, Partnership Commissioning	To describe Medway's potential for integration by nationally set timeframes	Working closely with MFT and CCG to bring in agreed programmes that will manage the channel-shift process	To describe the route-map for integration by 31 March 2017 Note: We are working to national timescales that are currently under review and the council is one third of the triangular partnership so not	A Transition Plan will be developed and implemented with Medway NHS Foundation Trust to ensure areas of concern are

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					able to exercise overall control.	identified early and appropriate actions implemented in a timely fashion. Contingency plans put in place
SR 25.05	Operational pressures on the workforce will restrict the ability to deliver the required investment and associated projects to make the vision of care outlined in our Better Care Fund submission a reality, including workforce recruitment, skills analysis and change management.	Assistant Director, Partnership Commissioning	A review of the services within the "ring-fenced" / pooled budget will identify those services that require additional resource, additionally it will identify those services not performing or where need has moved forward.	The ambition for the partnership for 2016 and beyond needs to be developed in line with rapidly changing needs, central policies (yet to be formalised) and available resources.	To describe the route-map for integration by 31 March 2017 Note: We are working to national timescales that are currently under review and the council is one third of the triangular partnership so not able to exercise overall control.	Our 2014 schemes include specific non-recurrent investments in the infrastructure and capacity support of the overall organisational development including workforce.

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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	July 2015
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. The Government's expectation is for all schools in special measures to become academies</p> <p>The OFSTED school inspection 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 which 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	Analysis of school data is used to agree a school partnership rating so that appropriate support can be put in place.	School Effectiveness and Inclusion (AD)	Schools results in line with or exceed nationally expected progress measures.	<ul style="list-style-type: none"> - School Challenge and Improvement Team support schools to identify actions needed to improve pupil progress. - Data shows progress to be in line with similar schools nationally and then to be in upper quartile. - Implementation of School Improvement Strategy. 	<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>RAMP meetings with head and Chair of Governors.</p> <p>CADMT performance reports.</p> <p>Council Plan monitoring.</p> <p>School Effectiveness Strategic Board.</p>		

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<p>SR 27.02</p>	<p>The proportion of schools in Medway with an OFSTED judgement requires improvement (3) is currently higher than national; and the proportion of schools with good and outstanding judgements is currently lower than national.</p>	<p>School Effectiveness and Inclusion (AD)</p>	<p>Schools move up from requires improvement to Good and from Good to Outstanding.</p>	<ul style="list-style-type: none"> - Core SCI 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 and better practice. - Work closely with the teaching school alliances to develop leadership and improve the quality of teaching across subject areas. 	<p>OFSTED judgements place more schools in the Good or Outstanding categories.</p>	<p>SCI team meetings. OFSTED liaison and monitoring. CADMT performance reports. Council Plan monitoring. School Effectiveness Strategic Board.</p>
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SR 28	Better Care Fund	Owner	Assistant Director, Partnership Commissioning	Adult Services Portfolio	Current Risk Score	C	II	Reviewed	June 2015
Link to Corporate Priority		Adults maintain their independence and live healthy lives							
Vulnerability			Trigger		Consequences				
<p>The ambition of the Better Care Fund (BCF) is to describe Medway's potential for the integration of Adult health and social care and then to deliver the agreed integration.</p> <p>The achievement of these ambitions represents a significant challenge to the local authority and our health partners (The Council only controls a small proportion of the system, alongside the CCG and Medway foundation trust).</p> <p>There is a risk that the changes needed across the system will take longer to implement than the timeframe that our ambition</p>			<p>The current timeframe for BCF is to have described the roadmap for integration by 31 March 2017.</p> <p>Whilst the overall national ambition for integration remains same, the priorities and timescales for delivery within that overall ambition may shift at a national level. Uncertainty around national policy and budget in relation to integration/NHS/Council</p>		<p>Potential impact on ASC resources.</p> <p>Potential risk around supporting wider health economy.</p>				
Code	Description	Managed By	Desired Outcome	Output	Milestones/Pis		Monitoring		
SR 28.01	Risk that the introduction of the Care Act 2014 will result in a significant rise in the cost of provision and implementation costs from April 2016. Still too early to tell what impact will be on current social care budgets or plans.	Assistant Director, Partnership Commissioning	To be care act compliant in line with national timescales.	Introduction of a cap on the costs of care, means testing and new appeals process	Phase 2 of Care Act from April 2016 Note: There will be a communication on the direction of travel before parliamentary recess (21 July). The final statutory regulations and guidance are not however expected until October 2015.		We have undertaken an initial impact assessment of the effects of the Care Act, are carrying out further financial modeling and will continue to refine our assumptions as we develop our final Better Care Fund response.		

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SR 28.02	Shifting of resources to fund new joint interventions and schemes might destabilise current service providers, particularly in the acute sector	Assistant Director, Partnership Commissioning	To describe Medway's potential for integration by nationally set timeframes	Working closely with MFT and CCG to bring in agreed programmes that will manage the channel-shift process	To describe the route-map for integration by 31 March 2017 Note: We are working to national timescales that are currently under review and the council is one third of the triangular partnership so not able to exercise overall control.	A Transition Plan will be developed and implemented with Medway NHS Foundation Trust to ensure areas of concern are identified early and appropriate actions implemented in a timely fashion. Contingency plans put in place
SR 28.03	Operational pressures on the workforce will restrict the ability to deliver the required investment and associated projects to make the vision of care outlined in our Better Care Fund submission a reality, including workforce recruitment, skills analysis and change management.	Assistant Director, Partnership Commissioning	A review of the services within the "ring-fenced" / pooled budget will identify those services that require additional resource, additionally it will identify those services not performing or where need has moved forward.	The ambition for the partnership for 2016 and beyond needs to be developed in line with rapidly changing needs, central policies (yet to be formalised) and available resources.	To describe the route-map for integration by 31 March 2017 Note: We are working to national timescales that are currently under review and the council is one third of the triangular partnership so not able to exercise overall control.	Our 2014 schemes include specific non-recurrent investments in the infrastructure and capacity support of the overall organisational development including workforce.

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SR 04	Performance Management	Owner	Communications, Performance & Partnerships (AD), Directorate DMT's	Resources Portfolio	Current Risk Score	E	II	Reviewed	July 2015
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 a 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 Council.	Communications, Performance & Partnerships (AD)	An embedded performance management culture that makes evidence based decisions.	Consistent, effective performance management processes, across the Council.	<p>July 15 - Q1 2015-16 Council Plan Monitoring Commences.</p> <p>Feb 16 -Council Plan Targets and Key Projects Agreed for 2016/17</p>		Quarterly.		

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SR 13	Equality and diversity	Owner	Communications, Performance & Partnerships (AD)	Corporate Services Portfolio	Current Risk Score	C	II	Reviewed	July 2015
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. Implementation complete – Review in July 2015 postponed due to loss of EAG chair. Recommendation to link budget DIA process with Star Chamber by Feb 2016.			
SR 13.06	New processes to be developed to collate and assess the cumulative impact of budget decisions during the star chamber process.	Communications, Performance & Partnerships (AD) and Chief Finance Officer	Directorates routinely assess the potential equalities impact on budget decisions before proposals are submitted to Council.	New procedures are put in place for DMT's to follow while undertaking the annual budget setting process.	New operating procedures in place.	Corporate Management Team.			

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SR 17	Delivering regeneration	Owner	Director of Regeneration, Community and Culture	Inward investment, strategic regeneration and partnerships Portfolio	Current Risk Score	C	II	Reviewed	July 2015
Link to Corporate Priority		Everyone Benefitting from the Area's 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>			<p>The Council fails to achieve the economic, social and infrastructure regeneration agenda.</p>		<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 and infrastructure plan jointly with KCC.	- 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> £20m for North Kent and Thurrock for business loans and grants. £4m for Strood Flood Defences (Public Works Loan Board). £29m Local Growth Funding from the Local Enterprise Partnership.	As detailed in individual delivery plans.	Quarterly

CORPORATE RISK REGISTER

SR 21	Procurement and Tendering	Owner	Legal and Corporate Services (AD)	Resources Portfolio	Current Risk Score	C	II	Reviewed	July 2015
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger		Consequences				
Strategic Sourcing Plans and standard procurements do not realise the savings predicted and included in budget projections. Contracts are not appropriately and consistently managed such that the potential for regular reviews and annual reductions are not taken.			<ul style="list-style-type: none"> - Budget pressures - Audit reviews reveal weaknesses. 		<ul style="list-style-type: none"> - 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. 				
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 four 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 four weeks.	Taken over by Category Management team after "go-live" in December 2012.	Every four weeks.			
SR 21.03	Strategic Sourcing Plans which are agreed with the relevant service and monitored regularly.	Category Management	Predicted savings that are sensible and achievable and the ability to take alternative action if under performance occurs.	Regular savings reports to the Portfolio Holder and to the Finance team.	Completed and due to be monitored in 2015/16.	Procurement Board strategic oversight with Category Management team day-to-day management.			
SR 21.04	Building capacity in contract management including the use of external support.	Category Management	Good regular engagement with suppliers. Regular discussions about performance and savings.	Identification of contract management savings.	Commenced and to be reported throughout 2015/16.	Portfolio Holder strategic oversight with Category Management team day-to-day management.			

CORPORATE RISK REGISTER

SR 31	Public Health Transition	Owner	Director of Public Health	Adult Services Portfolio	Current Risk Score	C	II	Reviewed	July 2015
Link to Corporate Priority Putting our customers at the centre of everything we do									
Vulnerability			Trigger		Consequences				
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. Failure to realise benefits to population of Health and Social Care Act e.g. local authority impact on wider determinants of health.			Government cut to PH grant and Council financial constraints.		<ul style="list-style-type: none"> - Failure to meet statutory duties. - Worsening health status of population - Increase demand on health and social care - Risks to prevention and management of public health incidents. - Failure to implement Public Health programmes 				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs		Monitoring		
SR 31.02	Ensure effective use of PH grant and wider Council business to improve and protect health.	Director of Public Health	Agreement with partners on ongoing responsibility for payment.	Provision of evidence based cost effective public health interventions. Cross Council contributions delivered through Collaborative Working Agreements with Public Health.	Collaborative working agreements to be agreed by Q1.		On-going via PHOF and ADQs.		
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. Allocation to be challenged by 16 Jan 15. Contract to novate from 1 Oct 15.		On-going.		
SR 31.04	Develop plan to make in year cuts to budget.	Director of Public Health	Minimise adverse effect of cuts on public health outcomes.	Plan to cut expenditure from PH grant in line with Govt cut	ASAP – awaiting figure for cut post DH consultation		Budget monitoring and PHOF.		

CORPORATE RISK REGISTER

SR 02	Business continuity and emergency planning	Owner	Director of Regeneration, Community and Culture	Business management (cross cutting) Portfolio	Current Risk Score	D	II	Reviewed	July 2015
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>			<p>A significant adverse event occurs and the Council is found wanting or negligent in its planning and/or operational response</p>		<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 2015. 		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 32	Data and Information	Owner	Legal and Corporate Services (AD)	Resources Portfolio	Current Risk Score	D	II	Reviewed	July 2015
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger			Consequences			
<p>Moves to implement the Digital Strategy with innovative collaborations about "Big Data" open the Council to increased information risk particularly regarding personal and health data.</p> <p>Conversely not sharing information with partners and others minimises the Council's ability to improve service delivery and reduce costs.</p>			<ul style="list-style-type: none"> - Budget pressures - ICO Audit reveals areas for improvement - Digital Strategy - Big Data project with academics 			<ul style="list-style-type: none"> - Data loss leads to damage to reputation. - Not achieving cost efficiencies through Digital Strategy changes - Failing to achieve Members' expectations. - Failing to find new innovations 			
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring			
SR32.01	Digital Strategy Officer Board includes the Senior Information Risk Owner	Legal and Corporate Services (AD)	To ensure that appropriate safeguards are in place for sharing information.	Privacy Impact Assessments (PIAs) ISAs and Standards Operating Procedures (SOPs) detailing roles and responsibilities.	On-going.	Regular			
SR32.02	Information Sharing Agreement (ISA) for Kent	Legal and Corporate Services (AD)	Provides the basis for ISAs within Kent organisations and outside	PIAs, ISAs and SOPs and where appropriate Data Licence Agreements.	On-going	Kent ISA reviewed annually			
SR32.03	Security and Information Governance Group	Legal and Corporate Services (AD)	Providing a corporate overview of all information risk across projects and initiatives	Minutes of SIGG meetings attended by representatives from Public Health, RCC and C&A Departments	On-going	Regular			
SR32.04	Meetings between Senior Information Risk Officer and Caldicott Guardian on specific	Legal and Corporate Services (AD)	Good regular engagement to discuss risk areas	PIAs, ISAs and SOPs co-signed where relevant	Ad hoc as and when required.	Regular			