

CORPORATE RISK REGISTER

RISK MATRIX - STRATEGIC PROFILE FOR JULY 2016

↑ Likelihood	A		26	3b
	B		9b, 25	
	C		17, 27, 21	
	D		2, 32, 33	
	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

CORPORATE RISK REGISTER

SR 03b	Finances	Owner	Chief Finance Officer	Leader's Portfolio	Current Risk Score	A	I	Reviewed	July 2016
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger		Consequences				
<p>There continues to be a major risk over the Council's ability to deliver a balanced budget without recourse to reserves, whilst at the same time delivering good quality services to the people of Medway.</p> <p>The move away from central support from Government and greater reliance on local taxation through council tax and retained business rates, whilst providing local authorities with the opportunity to benefit directly from growth, also brings with it significant risks to overall funding.</p> <p>Continuing pressure in the area of social care, particularly in relation to children and younger people with disabilities, has exacerbated the financial difficulties facing the Council.</p>			<p>The provisional settlement announced on 17 December, indicated reductions in Revenue Support Grant of 85% for Medway over the next four years and was reasonably consistent with the assumptions made in the Medium Term Financial Plan, which forecast a 'gap' of around £40 million by 2019/20.</p> <p>This may to some extent be mitigated by the ability to raise a further 2% pa from council tax via the 'social care precept' and in future years by the opportunity offered from 100% retention of business rates, however this reliance on local taxation for the majority of its revenue funding also exposes the local authority to significant risk.</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 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.	Medium Term Financial Plan in September. Capital and revenue budget agreed by Council in February	Quarterly budget monitoring			
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			

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	July 2016
Link to Corporate Priority		Supporting Medway's People to Realise Their Potential							
Vulnerability			Trigger		Consequences				
<p>The continuing A high level of historical 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 across a range of services.</p> <p>Challenges in recruiting to key posts would impact on the Council's ability to deliver good quality and consistent practice.</p> <p>Improvements to Children's Social Care services will continue to require corporate support and there is a risk that a lack of organisational capacity and resilience may slow progress.</p>			<p>Numbers of children in care and those with high level child protection needs increase do not reduce.</p> <p>Increased Managing high 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 failing to identify families that need targeted support through the early help outcomes framework.</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 implemented.	Children's Service Social Care (AD DD); Human Resources Service Team	Well trained & supported workforce.	Permanent staff numbers.	As per strategy and plan.	Reviewed bi monthly via Medway Safeguarding Children's Board (MSCB). Council Plan monitoring and CADMT.			
SR 26.02	Implement improvement plan strategy for action in response to Ofsted recommendations to strengthen quality of practice.	Children's Service Social Care (AD DD)	Improved outcomes for vulnerable children.	<ul style="list-style-type: none"> -Reduced drift -Less children subject to CP plans for 2 yrs plus -Improved educational outcomes for LAC -Voice of child clear and heard. Reduction in timescale between placement order and moving in with adoptive family Effectiveness of early help 	<ul style="list-style-type: none"> Children subject to CP plan 2 yrs plus. Educational outcomes LAC. Reduce delays in care proceedings. Percentage of families who have had a CAF/Early help Assessment, who have achieved desired outcomes at end of their intervention. 	CSCMT, Council Plan monitoring, CADMT & Corporate Parenting Board and MSCB			
SR 26.04	Implementation of the Children's Social Care Quality Assurance	Deputy Interim 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	Reviewed bi monthly in line with QA framework schedule			

CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/Pis	Monitoring
	Framework				inform learning.	
SR 26.05	Strengthen MSCB.	Interim 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 Services Social Care (AD DD)	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 MSCB

CORPORATE RISK REGISTER

SR 09b	Keeping vulnerable young people safe and on track	Owner	Director of Children and Adults	Children's Services Portfolio	Current Risk Score	B	II	Reviewed	July 2016
Link to Corporate Priority		Supporting Medway's People to Realise Their Potential							
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 and those excluded from school place 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. SEN Strategy developed and implemented.	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. YOT will be outsourced from Jan 2017 with other IYSS programmes.	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. YOT Board meets quarterly to oversee provision, steer development and monitor progress.	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. New provider appointed with experience and /or understanding of youth offending arrangements and effective delivery	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 New provider held accountable through YOT Board run by Council Contract subject to			

CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
						quarterly monitoring.
SR 09b.06	<p>A comprehensive strategy in place to ensure that partner agencies work cooperatively to identify and deal with CYP 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>Implement findings of review of CSE unit.</p>	Deputy Director, Interim Director Children & Adults	<p>- Ensure that we have a comprehensive strategy in place for CSE and missing.</p> <p>- All professionals working 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>Development of a reliable multi-agency data set.</p>	<p>Comprehensive joint K & M LSCB strategy for CSE has been signed by the MSCB and missing protocols in place via CSC</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>The K & M CSE strategy has been reviewed and recommendations operationalised.</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>Kent & Medway CSE Subgroup MSCB MASE Panel (Strategic)</p> <p>MSCB/Workforce development</p> <p>P & I /CSC AD</p> <p>MSCB MASE</p>
SR 09b.07	<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>

CORPORATE RISK REGISTER

SR 25	Adult Social Care Transformation	Owner	Deputy Director, Interim AD Children's & Adults Social Care	Adult Services Portfolio	Current Risk Score	B	II	Reviewed	July 2016
Link to Corporate Priority		Supporting Medway's People to Realise Their Potential							
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). The development and delivery of the Kent and Medway Sustainability and Transformation Plan may have an impact on our ability to ensure better out of hospital care and improved integration.</p> <p>There is a risk that the changes needed across the system will take longer to implement than our current ambitions state. The transformation of Adult Social Care will continue to require corporate support and there is a risk that a lack of organisational capacity and resilience may slow progress.</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. In addition there are national ambitions for further integration by 2020.</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>Deputy Director, Children & Adults Interim AD Adults Social care</p> <p>Assistant Director Partnership Commissioning</p>	<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</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</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>Monthly.</p> <p>As per star chamber and procurement forward plan.</p> <p>Monthly at AMT and</p>		

CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
	<p>Prevention, including technology enabled care services, early help and re-ablement short term services to maximise independence.</p> <p>Close management oversight, and action as required, to manage the budget. Short term management actions are being taken to reduce any overspend.</p> <p>New responsibilities arising from Care Act, for example, providing assessments and services for carers and self funders.</p>		sector of providers that can meet our local needs and provide high quality care and support to older people, disabled adults and carers.	<p>partnership in a meaningful and effective way.</p> <p>ASC Strategy and associated key projects.</p> <p>Monthly scrutiny of budgets at AMT and audits of practice and Personal Budgets/Direct Payments. Management action as required.</p> <p>Implementation of Care Act changes.</p>	<p>Programme developed and underway.</p> <p>Dynamic Purchasing System.</p> <p>Increase the number and effectiveness of reviews.</p> <p>Reduction in delayed transfers of care</p>	<p>quarterly at CADMT.</p> <p>Adult Social Care Improvement Board.</p> <p>Gateway process as per procurement forward plan.</p> <p>Council plan monitoring – implementation of Care Act is a key project.</p>
SR 25.02	<p>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.</p> <p>Risk of legal challenge and breaching statutory timeframes.</p>	Deputy Director, Interim Director Children & Adults	People in a care home or hospital are not deprived of their liberty illegally.	<p>DoLS applications to Medway as a Supervisory Body are processed and assessments carried out within timeframes.</p> <p>Establish DoLS Review Group to examine processes, digitization and other workflow improvements.</p>	<p>Setting up of Medway DoLS office – complete.</p> <p>Communication to care homes and other relevant settings to ensure compliance with the Mental Capacity Act 2005.</p> <p>Recruitment and training of the required number of Best Interest Assessors.</p> <p>Reduction in the number of DoLS cases awaiting authorisation</p>	<p>Breaches monitored weekly.</p> <p>Updates to AMT.</p> <p>DoLS Review Group report to CADMT.</p> <p>DH Quarterly monitoring report.</p> <p>DH annual statutory return.</p>
SR 25.03	Risk that the introduction of the Care Act 2014 will result in a significant rise in the	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	We have undertaken an initial impact assessment of the

CORPORATE RISK REGISTER

	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.				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.	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 To work with Health colleagues to develop a vision for integration at a Medway level.	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 Joint Commissioning Management Group (JCMG) and Health and Wellbeing Board
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. To ensure that all integrated commissioning e.g. Home First and Intermediate Care does not put a pressure on ASC budget and workforce	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. Efficiencies are achieved across ASC as well as health	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. Delivery of Integrated Commissioning activity.	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. New intermediate care service in place from 1st October. Reduction in number of intermediate care beds. Reduction in delayed transfers of care	Our 2014 schemes include specific non-recurrent investments in the infrastructure and capacity support of the overall organisational development including workforce. CADMT and JCMG

CORPORATE RISK REGISTER

SR 27	Government changes to Local Authority's responsibility for schools	Owner	Director of Children and Adults	Children's Services Portfolio	Current Risk Score	C	II	Reviewed	July 2016
Link to Corporate Priority		Supporting Medway's People to Realise Their Potential							
Vulnerability			Trigger		Consequences				
<p>Councils are accountable for the outcome of performance of all schools but have reduced levers to drive action and change. In academies the only lever is to refer the school to the Regional Schools Commissioner. In maintained schools, poor inspection judgements or coasting schools are expected to be subject to intervention by the Regional Schools Commissioner. 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 or a coasting judgement on the basis of pupil progress.</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 and writes off deficits. - 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. Analysis of academy data is used to refer an academy to the regional Schools Commissioner	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. - Number of coasting schools is low 	<ul style="list-style-type: none"> RAMP meetings with head and Chair of Governors. CADMT performance reports. Council Plan monitoring. School Effectiveness Strategic Board. 			

CORPORATE RISK REGISTER

<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>
-----------------	--	--	--	---	--	---

CORPORATE RISK REGISTER

SR 17	Delivering regeneration	Owner	Director of Regeneration, Culture, Environment & Transformation	Inward investment, strategic regeneration and partnerships Portfolio	Current Risk Score	C	II	Reviewed	July 2016
Link to Corporate Priority		Maximise Regeneration and Economic Growth							
Vulnerability			Trigger		Consequences				
<p>Medway's regeneration plans to regenerate the area with 50,000 people to Medway up to 20,000 jobs and 29,000 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>Economic uncertainty could delay regeneration and growth, impacting on strategic decisions and inward investment.</p>			<p>The Council fails to achieve the economic, social and infrastructure regeneration agenda.</p> <p>House/property building companies start to delay developments.</p> <p>Potential lack of companies wanting to locate in Medway.</p>		<p><input type="checkbox"/> Regeneration projects not completed.</p> <p><input type="checkbox"/> Potential damage to Council's reputation.</p> <p><input type="checkbox"/> Not able to meet member, government and the public's expectations.</p> <p><input type="checkbox"/> Deteriorating physical and infrastructure assets.</p> <p><input type="checkbox"/> Investment wasted.</p> <p><input type="checkbox"/> Young people are not catered for in the 'new world'.</p> <p><input type="checkbox"/> Low skills base among some residents remains.</p> <p><input type="checkbox"/> Disconnect between skills and employment opportunities.</p> <p><input type="checkbox"/> Maintenance of low aspiration culture.</p> <p><input type="checkbox"/> Increased commuting and pressure on transportation.</p> <p><input type="checkbox"/> Negative impact on community cohesion.</p>				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring			
SR 17.01	Outline infrastructure needs identified.	Director of Regeneration, Culture, Environment & Transformation	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, Culture, Environment & Transformation	HCA confirm any funding commitment to projects and plans for HCA sites	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, Culture, Environment & Transformation	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			

CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 17.05	Working with the Local Enterprise Partnership to attract funds to Medway.	Director of Regeneration, Culture, Environment & Transformation	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. £4m for Strood Flood Defences £29m Local Growth Funding from the Local Enterprise Partnership.	As detailed in individual delivery plans.	Quarterly
SR17.06	Working towards the adoption of the new Medway Local Plan	Director of Regeneration, Culture, Environment & Transformation	New Local Plan and Planning Policy Guidance adopted	To complete the development of the Local Plan and Planning Policy Guidance as outlined in the Local Development Scheme published 2015	<ul style="list-style-type: none"> • Preferred options consultation completed in Jan/Feb 2016 • Publication Nov/Dec 2017 • Submission March 2018 • Anticipated adoption Dec 2018 	Development Plans Advisory Group Meetings
SR17.07	To seek additional external funding opportunities	Assistant Director Physical and Cultural Regeneration	Ensuring Medway's Regeneration programme is delivered.	Additional funding streams identified and secured.	<ul style="list-style-type: none"> • To seek funding opportunities to develop innovative public service solutions • Facilitating the delivery of the Inward Investment Strategy by March 2017 • Encouraging the delivery of homes through investigation of new financial models and release of Council owned sites. 	Council Plan Qtr monitoring

CORPORATE RISK REGISTER

SR 21	Procurement and Tendering savings – capacity and delivery	Owner	Legal and Corporate Services (AD)	Resources Portfolio	Current Risk Score	C	II	Reviewed	July 2016
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger		Consequences				
<p>Strategic Sourcing Plans and standard procurements do not realise the savings predicted and included in budget projections.</p> <p>Contracts are not appropriately and consistently managed such that the potential for regular reviews and annual reductions are not taken.</p> <p>Inability to continue identifying contract and commissioning savings.</p> <p>Agreed contract and commissioning savings identified in the budget are not delivered.</p> <p>Insufficient capacity to deliver savings to the agreed timetable</p>			<ul style="list-style-type: none"> - Budget pressures - Audit reviews reveal weaknesses. - Market inflationary pressure on prices 		<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	Category Management	Good regular engagement with suppliers. Regular	Identification of contract management savings.	Commenced and to be reported throughout 2015/16.	Portfolio Holder strategic			

CORPORATE RISK REGISTER

	use of external support.		discussions about performance and savings.			oversight with Category Management team day to day management.
SR 21.01	Cabinet and Corporate Management Team joint review of agreed budget savings and timetable	Chief Finance Office Chief Legal Officer	To deliver budget savings to an agreed timetable	Budget quarterly monitoring	Budget out-turn	Regular
SR 21.02	Member chaired Procurement Board which meets regularly	Chief Finance Officer Chief Legal Officer & Category Management team	Timely delivery of procurement ensuring mobilisation of contracts and delivery of savings	Procurement Board governance reports Forward Procurement Plans Commissioning team plans	Budget savings	Regular
SR 21.03	Regular updates to Leader and other relevant Portfolio Holders	Chief Finance Officer Chief Legal Officer Partnership Commissioning (AD)	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.	Due to be monitored throughout 2016/17.	Regular
SR 21.04	Good liaison between Category Management team and Joint Commissioning team and other Council teams	Chief Legal Officer Partnership Commissioning (AD)	Good regular engagement with teams. Regular discussions about performance and savings.	Procurement Board reports Procurement Board governance report Updates to Cabinet/CMT Agreed programme of commissioning procurements	Due to be monitored throughout 2016/17.	Regular
SR21.05	Good liaison with suppliers to continue to identify realistic savings.	Chief Legal Officer Partnership Commissioning (AD)	Good regular engagement with suppliers. Regular discussions about performance and savings.	Contract management data	On-going	Regular

CORPORATE RISK REGISTER

SR 02	Business continuity and emergency planning	Owner	Director of Regeneration, Culture, Environment & Transformation	Business management (cross cutting) Portfolio	Current Risk Score	D	II	Reviewed	July 2016
Link to Corporate Priority		ALL							
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, Culture, Environment & Transformation	<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, Culture, Environment & Transformation	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)	Adrian Gulvin Portfolio	Current Risk Score	D	II	Reviewed	July 2016
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 (Deputy Director C&A) on specific risks	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			
SR32.05	New Information Governance (IG) team created to augment the Council's response to IG	Legal and Corporate Services (AD)	A team dedicated to increasing control around IG and other related issues.	FOI and SAR statistics Periodic ICO audits	On-going	Regular			

CORPORATE RISK REGISTER

SR 33	Impact of Welfare Reform	Owner	Chief Finance Officer	Leader's Portfolio	Current Risk Score	D	II	Reviewed	July 2016
Link to Corporate Priority	Supporting Medway's People to Reach Their Potential and Giving Value for Money								
Vulnerability			Trigger		Consequences				
A wide range of changes in Government policy under the broad banner of 'Welfare Reform' could have a significant impact on the Council's resources. Some could impact directly on the Council's resources, such as the introduction of the living wage and the 1% per annum reduction in social rents, whereas others impact adversely on a cohort of the more vulnerable members of the community, which in turn increases demand for some the Council's core services – social care, housing and revenues and benefits. As the changes are implemented on a phased basis the Council not able to fully predict the impact they will have on its resources.			Since 2012 the Government has embarked upon a major programme of welfare reform, with the broad aims of encouraging people back into work and addressing a perceived 'dependency culture' in Britain. These measures have included: - Changes to tax allowances and thresholds - Reform of benefits (eg. Universal Credit, the cap) - Changes in eligibility for social housing - Introduction of the living wage - An influx of both identified and unidentified customers		<input type="checkbox"/> Impact on some of the most vulnerable citizens. <input type="checkbox"/> Consequent impact on demand for core council services. <input type="checkbox"/> Transfer of additional responsibilities to local authorities. <input type="checkbox"/> Direct and indirect impacts on council staffing resources. <input type="checkbox"/> Direct Impact on Rent Income Stream to HRA <input type="checkbox"/> Increase in homelessness/Evictions <input type="checkbox"/> Negative local publicity and reputational damage. <input type="checkbox"/> Unidentified customers impacted by the welfare reform presenting to the Council too late to prevent homelessness.				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs		Monitoring		
SR 33.01	Provide direct financial support for the most vulnerable members of the community.	Phil Watts	Customers are able to sustain tenancies and mortgages. Families remain resilient and less likely to need Council care services.	Implementation of the following <ul style="list-style-type: none"> • Council tax reduction scheme; • Discretionary relief; • Enhanced housing benefit; • Welfare provision. 	The number of customers receiving a housing duty presenting with the following reasons for their homelessness <ol style="list-style-type: none"> 1. Mortgage arrears (repossession or other) 2. Rent arrears on: <ol style="list-style-type: none"> a) Local authority or other public sector dwellings; b) Registered social landlord /other housing association; c) Private sector dwellings. KPI rent arrears as % of rent debit.		Government P1E quarterly returns (homelessness)		
SR 33.02	Establishment of the Welfare Reform Officer Group, to take forward the recommendations of the Welfare Reform Members Task Group.	Phil Watts	Staff from different services and directorates provides a joined up approach, meeting the challenges the welfare reform poses for our customers. In addition as many of our residents as possible are delivered a	Establish a Welfare Reform Officer Group incorporating members from relevant services. Produce and deliver an action plan to implement the recommendations of the Welfare Reform Members Task Group.	Monitor action plan and provide six monthly update reports to O&S Committee: August 2016 February 2017 August 2017		Welfare Reform Officer Group Six monthly updates to BSD O&S		

CORPORATE RISK REGISTER

			consistent message.	Regular reporting.	February 2018	
SR 33.03	The direct provision of and referral to money advice services.	Various	Customers are clearly signposted to free and independent money and debt advice, which will help them in budgeting and managing debts.	Produce specification for service provision and tender. Tender service and award service contract. Brief staff on procedures. Launch service and undertake wide publicity campaign for our customers.	Number of referrals made Number of referrals made where debt in line with Council tax arrears and rent arrears reduce	Quarterly
SR 33.04	Closer working with the DWP in relation to implementation of Universal Credit.	Phil Watts	Deliver the Council's commitments in terms of the Delivery Partnership Agreement.	Undertake joint meetings and working arrangements with DWP. Undertake joint publicity campaign to signpost customers to the DWP and where appropriate support them with online access to the application process. Formalise debt advice services.	Number of joint events held with partners to promote Universal Credit	Welfare reform Officer group Six monthly updates to BSD O&S
SR 33.05	Review of the HRA business plan to address the impact of the 1% reduction in rents and the high value subsidy figure which is being legislated in the proposed Housing Bill.	Marc Blowers	The Council has a clear understanding of future viability of HRA business plan and delivery of services, allowing the Council to plan effectively for the future provision of the service	Review the business plan once the Housing and Planning Bill has been passed and the high value subsidy figure is announced (expected June 2016) Consult on the plan with HRA tenants and present to BSD O&S.	Monitoring of Business Plan annually Quarterly budget monitoring. O&S report on revised HRA business plan – October 2016	O&S Committee Quarterly budget monitoring