

CABINET

21 NOVEMBER 2017

6 MONTHLY REVIEW OF THE COUNCIL'S CORPORATE BUSINESS RISK REGISTER AND ANNUAL REVIEW OF THE STRATEGIC RISK FRAMEWORK

Portfolio Holder:	Councillor Rupert Turpin, Business Management
Report from:	Richard Hicks, Director of Regeneration, Culture, Environment and Transformation and Deputy Chief Executive / Chair of Strategic Risk Management Group
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Summary

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

The Cabinet is invited to consider this report, including the comments of the Business Support Overview and Scrutiny Committee which considered the report on 26 October 2017.

1. Budget and Policy Framework

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

2. Background

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

2.2 This Risk Management Strategy incorporates and:

- promotes a common understanding of risk;
- outlines roles and responsibilities across the Council;

- proposes a methodology that identifies and manages risk in accordance with best practice, thereby seeking to prevent injury, damage, loss and reducing the cost of risk.
- 2.3 The strategy is reviewed annually to ensure that it remains up-to-date and continues to reflect the Council's approach to risk management.
- 2.4 The Corporate Risk Register, which accompanies the strategy, ensures that all relevant key risks are recorded and this is reviewed and managed every 6 months by both management and Members.
- 2.5 **The Corporate Risk Register** - was last reviewed by the Strategic Risk Management Group (SRMG) on 4 January 2017, Corporate Management Team (CMT) on 1 February 2017, Business Support Overview and Scrutiny Committee on 13 April 2017 and Cabinet on 9 May 2017.
- 2.6 At that time the Cabinet agreed the following proposed amendments to the Council's Risk Register from the Corporate Management Team:
- a) The Cabinet noted the comments of the Business Support Overview and Scrutiny Committee (BSO&S) on 13 April 2017 and decided that Corporate Risk SR26 (Children's Social Care) should be downgraded from All to BII.
- 2.7 **The Strategic Risk Framework** - was last reviewed by the SRMG on 22 July 2016, CMT on 10 August 2016, Audit Committee on 29 September 2016, BSO&S on 27 October 2016 and Cabinet on 22 November 2016.

3. **Advice and analysis Corporate Risk Registers**

- 3.1 Risks owners have reviewed their risks and updated them taking account of the amendments requested at Cabinet on 9 May 2016. July 2017 amendments to the Risk Register are detailed in Appendix A and B and are for consideration (additions/amendments are highlighted **GREY**).
- 3.2 CMT on 19 July 2017 added the following three risks to the Corporate Risk Register:
- **Alternative delivery models (e.g. MCG)** – Perry Holmes/Carrie Mckenzie/Phil Watts
- 3.2.1 While local authorities have traditionally delivered all services in-house, Medway Council has a strong track record of working in partnership with other organisations to deliver its objectives, including outsourced contracts, a range of shared services and joint commissioning arrangements. The joint venture with Medway Norse and the development of Medway Commercial Group represent a further evolution of this partnership approach. While the Council has some experience in the establishment and management of these arrangements within individual service areas, the growth in number and impact of these alternative delivery models over the past year brings a range of risks which now need to be managed at a corporate level.

3.2.2 The risk has been given a score of BII (high likelihood and critical impact), reflecting the growing number and significance of services delivered through alternative delivery models, and the fact that arrangements to manage this risk have largely been at a service level, rather than a corporate level to date.

- **Transformation** – Stephanie Goad (now Carrie McKenzie)

3.2.3 This risk has been identified and added to the Corporate Risk Register given the importance of achieving the savings from the Transformation Programme to fulfil the requirements in the Medium Term Financial Plan. The organisation is managing a range of changes which mean capacity is potentially stretched.

3.2.4 The risk has been rated currently as C2 – in reality if the mitigations are effective a D2 would be more appropriate.

- **Homelessness/housing** (Tomasz Kozlowski)

3.2.5 Homelessness has been added to the Corporate Risk Register and has been scored as BII (high likelihood and critical impact). Homelessness, and more specifically the provision of temporary accommodation has been increasing both locally and nationally for a number of years. Proposed changes to legislation, welfare reform and changes to funding act as further risks to the sustainability of the budget as well as the overall increasing demand. The Council has also come under scrutiny for the way that it offers services to single homeless applicants and rough sleepers during 2016/17. The amount of “visible” homelessness and associated issues has become an increasing point of focus for Members, the public and press during 2016/17 with the unfortunate deaths of three rough sleepers during the year.

3.3 In addition following the recent tragedies at Shoreham Airshow and Grenfell Tower, officers were asked to brief senior Members on how the Council would respond in the event of such an incident occurred in Medway. The resultant paper detailed the fact that the Council has in place response mechanisms to deal with major emergencies. This is in the form of Emergency Plans countywide and Medway Council specific, plus Business Continuity plans at a Council level. There is a dedicated Emergency Planning team plus senior officers trained to take part at gold, silver and bronze response levels.

4. Advice and analysis – Strategic Risk Framework

4.1 The Strategic Risk Management Strategy has completed its annual review.

4.2 At Business Support Overview and Scrutiny Committee on 13 April 2017 a Member reiterated a point made when the Committee last considered the Risk Register that a better approach to risk would be to combine risks and mitigations in one place. This would allow Members to see what was being done to mitigate a risk, what the timescales were, what progress was being made and what the residual risks were. The Chief Legal Officer advised that the Strategic Risk Management Group would look at its next meeting whether it was the right time to move to a broader approach to risk, including whether the Risk Register should include opportunities and mitigations as well as risks.

- 4.3 CMT agreed on 19 July 2017 to include more detailed updates on the progress of actions to mitigate risk from January 2018. For the longer term work has commenced to develop a joint approach to the management of risk, finance and performance.

5. Advice and analysis – Risk Management Audit August 2017

- 5.1 The review considered the effective arrangements that are in place for the management of operational risk in line with the Risk Management Cycle in the Council's Strategy.
- 5.2 The review found information is available on the intranet to help Service Managers understand their role in the Risk Management Framework and how to produce a Service Plan. All nine services knew how to identify, analyse and prioritise risks one service did not have an up to date Service Plan. Service Managers demonstrated inconsistencies in their risk rating, the templates they use to report risks and the majority were not using Covalent, which supports the opinion of some Service Managers that more training is required.
- 5.3 Four medium priority recommendations were identified in relation to providing training and introducing arrangements to ensure all services complete Service Plans and appropriately scored risk registers consistently.
- 5.4 Training arrangements have been reviewed and all managers will receive Risk Management Training by 30 April 2018. A process has been established to confirm all Service Plans have been completed by 1 April 2018.

6. Consultation

- 6.1 Risk owners have been consulted on the proposed amendments to the risk register. The SRMG on 22 June 2017 and Corporate Management Team on 19 July 2017 reviewed the amendments and framework. Members are consulted on the Corporate Risk Register via Business Support Overview and Scrutiny Committee on 26 October 2017 and Cabinet on 21 November 2017.

7. Business Support Overview and Scrutiny Committee – 26 October 2017

- 7.1 Members considered a report regarding the 6 monthly review of the Council's Corporate Business Risk Register and the annual review of the Strategic Risk Framework.
- 7.2 Officers undertook to look into a request that the narrative on the alternative delivery model risk should include more detail about concerns previously raised at the Committee regarding TUPE and pensions risks.
- 7.3 The Committee agreed to:
- 7.3.1 note officers' recommendations on amendments to the Council's Risk Register as detailed in section 3, Appendix A and B to the report, and;

7.3.2 note the risk management framework, Appendix C, and the response from Corporate Management Team, as detailed in paragraph 4.3 of the report, to the comments on risk management made at the April 2017 meeting of the Business Support Overview and Scrutiny Committee.

8. Financial, legal and risk implications

8.1 This report brings forward the annual review of the Strategic Risk Framework and six monthly review of the Council's Risk Register, which is integral to the Council's approach to risk management.

8.2 There are no direct financial or legal implications arising from this report although clearly the inability to control or mitigate risks could have a financial or legal impact.

9. Recommendations

9.1 The Cabinet is asked to consider the comments of the Business Support Overview and Scrutiny Committee as set out in section 7 of the report.

9.2 The Cabinet is asked to approve the amendments to the Council's Risk Register as detailed in section 3 and Appendices A and B to this report.

9.3 The Cabinet is asked to approve the revised risk management framework as set out in Appendix C to the report.

10. Suggested reasons for decision

10.1 The establishment of a corporate framework for risk management is recommended by CIPFA and SOLACE and will complement and support the work already being carried out within each directorate to manage risks.

Lead officer contact

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Appendices: Appendix A – Corporate Record of Amendments
Appendix B – Corporate Business Risk Register
Appendix C – Risk Management Framework

Background papers

None

SUMMARY OF CORPORATE RISK REGISTER – RECORD OF AMENDMENTS

Risk Ref	Rating Jul 15	Rating Jan 16	Rating Jul 16	Rating Jan 17	Rating Jul 17	Move ment	Risk Description	Owner	Portfolio Holder	Link to Corporate Priority	Link to Corporate Commitment
3b	AI	AI	AI	AI	AI	→	Finances	Chief Finance Officer	Alan Jarrett	Giving value for money	Ways of working
26	AII	AII	AII	BII	BII	↓	Children's Social Care	Director Children and Adults Services	Andrew Mackness	Supporting Medway's People to Realise Their Potential	All children achieving their potential in schools
9b	BII	BII	BII	BII	BII	→	Keeping vulnerable young people safe and on track	Director Children and Adults Services	Andrew Mackness Martin Potter	Supporting Medway's People to Realise Their Potential	All children achieving their potential in schools
25	BII	BII	BII	BII	BII	→	Adult Social Care Transformation	Director Children and Adults Services	David Brake	Supporting Medway's People to Realise Their Potential	Older & disabled people living independently
27	CII	CII	CII	CII	CII	→	Government changes to Local Authority's responsibility for schools	Director Children and Adults Services	Andrew Mackness Martin Potter	Supporting Medway's People to Realise Their Potential	All children achieving their potential in schools
17	CII	CII	CII	CII	CII	→	Delivering Regeneration	Director Regeneration, Culture, Environment & Transformation	Rodney Chambers	Maximise Regeneration and Economic Growth	<ul style="list-style-type: none"> A strong diversified economy Residents with jobs and skills Delivering new homes to meet the needs of Medway's residents Getting around Medway
21	CII	CII	CII	CII	CII	→	Procurement and Savings– capacity and delivery	AD Legal and Corporate Services	Adrian Gulvin	Giving value for money	Ways of working
2	DII	DII	DII	DII	DII	→	Business Continuity & Emergency Planning	Director Regeneration, Culture, Environment & Transformation	Rupert Turpin	ALL	ALL
32	DII	DII	DII	CII	CII	↑	Data and Information	AD Legal and Corporate Services	Adrian Gulvin	Giving value for money	Ways of working
33		DII	DII	DII	DII	→	Impact of Welfare reform	Chief Finance Officer	Alan Jarrett	Supporting Medway's People to Reach Their Potential and Giving Value for Money	Ways of working
34					CII	NEW	Successful delivery of the corporate transformation programme	Assistant Director Transformation	Adrian Gulvin	Giving value for money	Ways of working
35					BII	NEW	Homelessness	Assistant Director Physical and Cultural Regeneration	Howard Doe	Maximise Regeneration and Economic Growth	Preventing homelessness

SUMMARY OF CORPORATE RISK REGISTER – RECORD OF AMENDMENTS

Risk Ref	Rating Jul 15	Rating Jan 16	Rating Jul 16	Rating Jan 17	Rating Jul 17	Move ment	Risk Description	Owner	Portfolio Holder	Link to Corporate Priority	Link to Corporate Commitment
36					BII	NEW	Alternative service delivery models	Corporate Management Team	Alan Jarrett	Giving value for money	Ways of working

CORPORATE RISK REGISTER

RISK MATRIX - STRATEGIC PROFILE FOR JULY 2017

	A			3b	
	B		9b, 25, 26, 35, 36		
	C		17, 27, 21, 32, 34		
	D		2, 33		
	E				
	F				
		IV	III	II	I

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 2017
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, whilst at the same time delivering good quality services to the people of Medway. 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. 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 15 December 2016 was the first since the Council signed up for a four-year funding settlement, giving greater financial certainty through to 2019-20. However the inherent uncertainty around funding based on locally raised tax, is made even more uncertain following the general election. The implications of this are that the move to 100% business rate retention has been put on hold, whilst the grant settlement only covers the period to 2019/20. The settlement was reasonably consistent with the assumptions made in the Medium Term Financial Plan, which forecast a 'gap' of around £15 million by 2019/20. This may to some extent be mitigated by the ability to raise additional council tax via the 'social care precept' and 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 MPs, 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	Robust financial planning and management, ensuring financial risks are highlighted and managed effectively. Identification and delivery of savings initiatives. Co-ordinate responses with members, agree media campaign, solicit support	Balanced budget with resources aligned to priorities, delivery of value for money and financial savings to ensure financial sustainability in the medium-term. Unqualified 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

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Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
			from peer authorities and partners.			
SR 03b.03	Create resources for investment priorities.	Corporate Management Team	<ul style="list-style-type: none"> - Track funding opportunities - Maximise asset values for disposal - Consider prudential borrowing 	<ul style="list-style-type: none"> - External investment - Asset release - Revenue cost associated with prudential borrowing 	On-going	Six monthly
SR 03b.04	Delivery of digital transformation programme	Transformation Board	<ul style="list-style-type: none"> - Development of high quality digital services - Delivery of efficiency savings through enhanced processes 	<ul style="list-style-type: none"> - High quality digital services - Reduced service delivery cost - Improved value for money in delivery of Council services 	On-going	Six monthly

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SR 26	Children's Services Social Care	Owner	Director of Children and Adults	Children's Services Portfolio	Current Risk Score	B	II	Reviewed	July 2017
Link to Corporate Priority		Supporting Medway's People to Realise Their Potential							
Vulnerability			Trigger		Consequences				
<p>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>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 Safeguarding and Early Help 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 do not reduce or a high level of complex needs requires specialist resources.</p> <p>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 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. - Excessively high caseloads 				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring			
SR 26.01	Recruitment & retention & workforce development strategy for children's social workers implemented.	Children's Service (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 and the Medway Children and Young People's Transformation and Improvement Board .			
SR 26.02	Together We Can –Strategy has been implemented in response to Ofsted recommendations to strengthen quality of practice.	Children's Service (DD)	Improved outcomes for vulnerable children.	-Improved educational outcomes for LAC Reduction in timescale between placement order and moving in with adoptive family Effectiveness of early help	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.	CSMT, Council Plan monitoring, CADMT & Corporate Parenting Board and MSCB			
SR 26.04	Implementation of the	Interim Director for	Good quality and	Learning and thematic Audits and	The learning points from	Reviewed bi monthly in			

CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
	Children's Social Care Services Quality Assurance Framework	Children and Adults	consistent practice.	other quality assurance tasks are completed as per the QA framework.	completed auditing activity are aggregated so as to inform learning.	line with QA framework schedule
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, including strengthening support to parents at home.	Commissioning, Business & Intelligence Partnership Commissioning (AD), Children's Services (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 CSMT, CADMT, and MSCB and the Medway Children' and Young People's Transformation and 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 (Lead Member) Portfolio Educational Attainment and Improvement Portfolio	Current Risk Score	B	II	Reviewed	July 2017
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) Children's Services (DD)/Commissioning, Business and Intelligence (AD)	Improved outcomes for C&YP as per SEN 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. Need strategy for pupils excluded and those at risk of exclusion. Early Help/Intervention services needs to be designed and implemented.	Less out of area SEN placements; more children being educated in mainstream schools with outreach; Increased local specialist provision. Fewer exclusions fixed term and permanent.	SEN data is reviewed quarterly. Exclusions data is reviewed quarterly			
SR 09b.05	Ensure practitioners are equipped to be compliant with any changes in the Youth Justice system and that monitoring systems are in place to track this. YOT will be outsourced from jan 2017 with other IYSS programmes.	School Effectiveness and Inclusion (AD) Children's Services (DD)/Commissioning, Business and Intelligence (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	Performance is monitored monthly (proxy figures) and quarterly (YJB information). 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. New provider appointed with experience and/or understanding of youth offending arrangements and effective delivery.	YOT Board meets quarterly to oversee provision, steer development and monitor progress			

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Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
			alternative to secure remand.			
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>Implement findings of review of CSE unit.</p>	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>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>B & I /CSE 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 minimalized</p> <p>Medway agencies share information on vulnerable young people at risk of radicalisation.</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>- From January 2016 2017</p> <p>- From January 2016 2017</p>	<p>MSCB</p> <p>MSCB</p>

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SR 25	Adult Social Care Transformation	Owner	Director of Children and Adults Interim AD-Children's & Adults Social Care	Adult Services Portfolio	Current Risk Score	B	II	Reviewed	July 2017
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>The ambition of the Integrated Better Care Fund (IBCF) for 17/18 is to describe Medway's potential for the integration of Adult health and social care and then to deliver the agreed integration. Reduction of delayed transfers of care to be no more than 3.5%</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 continues to be pressure on the social care market both in terms of the numbers of hospital discharges and the ability of domiciliary care providers to recruit.</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>The implementation of the Care Act Changes to financial regulations in 2010 and the implementation of the Universal Credit/ ESA and Housing Benefit pose a substantial risk on the client income reduced</p>			<p>Demographic impact.</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>The implementation of the STP across Kent and Medway, and the development of an Accountable care Organisation needs to be understood and led locally.</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>Capacity planning for local care must incorporate Social care and preventative services</p> <p>Development of retail expansion across the Borough means that staff from social Care are attracted to this industry as the rates of pay are more competitive The length of stay in residential and nursing care homes is extended</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> <p>Inability to meet demand placed on social care through changes to primary care and secondary care MICES as the number of discharges from hospital rises there remains increased pressure on the community equipment service, which is a pooled budget, and overspent by £500k in 16/17.</p> <p>Reduction of capacity in domiciliary care market Fee Increases (commissioned Care and Direct payment rates</p> <p>Reduction of capacity in residential and nursing homes Transition clients from Children/ SEN Residential placements Level of Savings Achieved through Getting Better Together programme lower than budgeted</p>				

CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 25.01	<p>Personal Budgets giving people more choice and control. Micro Commissioning Project</p> <p>Commissioning sufficient capacity and a suitably wide range of services to meet need.</p> <p>Prevention, including technology enabled care services, early help and 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>Interim AD Adults Social Care /Commissioning, Business & Intelligence AD</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 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>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>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>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>Monthly.</p> <p>As per star chamber and procurement forward plan.</p> <p>Monthly at AMT and quarterly at CADMT.</p> <p>Adult Social Care Improvement Board.</p> <p>Gateway process as per procurement forward plan.</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>	Director Children & Adults	<p>People in receipt of Health and Social Care Support are not deprived of their liberty illegally.</p>	<p>DoLS applications to Medway as a Supervisory Body are processed and assessments carried out within timeframes.</p> <p>DoLS process is digitalised to create efficiencies</p> <p>Increase in training for BIA's. Expend the number of senior officers to act as authorisers</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 25.04	To work with Health colleagues to develop a vision for integration at a Medway level. To identify	<p>Assistant Director, Partnership Commissioning</p> <p>Interim AD Adult</p>	To describe Medway's potential for integration by nationally set timeframes	<p>Working closely with Health partners and voluntary sector to agree what the local care offer will be.</p> <p>Involvement in STP Boards to ensure</p>	<p>To be able to define what the local Care offer will be from April 2017.</p> <p>Involvement in public</p>	<p>Joint Commissioning Management Group (JCMG) and Health and Wellbeing Board</p>

CORPORATE RISK REGISTER

	<p>what the Accountable care organisation will look like.</p> <p>Agree how the IBCF funding will be used to meet the strategic objectives as set out by the DOH and DCLG</p>	<p>Social Care /Commissioning, Business & Intelligence AD</p>		<p>the LA gets a Voice.</p>	<p>Consultation Summer 2017</p>	
SR 25.05	<p>To ensure that all integrated commissioning e.g. Home First and Intermediate Care does not put a pressure on ASC budget and workforce</p> <p>To review the intermediate care, MICES, rapid response and discharge arrangements to ensure that additional pressure is not put on the ASC budgets</p>	<p>Assistant Director, Partnership Commissioning, Business & Intelligence</p>	<p>Efficiencies are achieved across ASC as well as health</p>	<p>Delivery of Integrated Commissioning activity.</p>	<p>New intermediate care service in place from 1st October. Reduction in number of intermediate care beds. Reduction in delayed transfers of care</p>	<p>CADMT and JCMG</p>

CORPORATE RISK REGISTER

SR 27	Government changes to Local Authority's responsibility for schools	Owner	Director of Children and Adults	Children's Services (Lead Member) Portfolio Educational Attainment and Improvement Portfolio	Current Risk Score	C	II	Reviewed	July 2017
Link to Corporate Priority		Supporting Medway's People to Realise Their Potential							
Vulnerability			Trigger		Consequences				
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.			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.		<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) Children's Services (DD)	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. 		

CORPORATE RISK REGISTER

SR 27.02	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.	School Effectiveness and Inclusion (AD) Children's Services (DD)	Schools move up from requires improvement to Good and from Good to Outstanding.	<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. 	OFSTED judgements place more schools in the Good or Outstanding categories.	<p>SCI team meetings.</p> <p>OFSTED liaison and monitoring.</p> <p>CADMT performance reports.</p> <p>Council Plan monitoring.</p>
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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 2017
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>		<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, 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

SR 21	Procurement savings – capacity and delivery	Owner	Legal and Corporate Services (AD) Chief Legal Officer	Resources Portfolio	Current Risk Score	C	II	Reviewed	June 2017
Link to Corporate Priority Giving Value for Money									
Vulnerability			Trigger		Consequences				
Inability to continue identifying contract and commissioning savings. Agreed contract and commissioning savings identified in the budget are not delivered. Insufficient capacity to deliver savings to the agreed timetable			<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	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			

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 2017
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			

SR 32	Data and Information	Owner	Legal and Corporate Services (AD) Chief Legal Officer	Adrian Gulvin Portfolio	Current Risk Score	C	II	Reviewed	July 2017
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[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. There is also a duty to share information in the interests of client care (Caldicott 2 Report).</p> <p>Local Authorities are required to achieve Level 2 on the Information Governance toolkit; however opportunities to improve the Council's position with respect to the IG toolkit requirements have been identified. Failure to achieve level 2 will mean that Medway Council will lose its trusted partner status with respect to the Kent and Medway information sharing agreement.</p>	<ul style="list-style-type: none"> - Budget pressures - ICO Audit reveals areas for improvement - Digital Strategy - Big Data project with academics - Annual information governance toolkit submission 	<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 - Failing to deliver good quality care for residents of Medway

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR32.01	Digital Strategy Officer Board includes the The Council has a Senior Information Risk Owner (Chief Legal Officer) and a Caldicott Guardian (Director of Children's and Adults Services) and in time for the General Data Protection Regulation also a Data Protection Officer (the Information Governance Manager)	Legal and Corporate Services (AD) Chief Legal Officer	To ensure that appropriate organisational safeguards are in place for sharing information.	Information governance policies and procedures are available on the intranet. Privacy Impact Assessments (PIAs) ISAs and Standards Operating Procedures (SOPs) also exists detailing roles and responsibilities.	On-going.	Regular
SR32.02	Information Sharing Agreement (ISA) for Kent	Legal and Corporate Services (AD) Chief Legal Officer	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) Chief	Providing a corporate overview of all information	Minutes of SIGG meetings attended by representatives from Public	On-going	Regular

		Legal Officer	risk across projects and initiatives	Health, RCET and C&A Departments		
SR32.04	Meetings between Senior Information Risk Officer and Caldicott Guardian (Deputy Director C&A) on specific risks	Legal and Corporate Services (AD) Chief Legal Officer	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) Chief Legal Officer	Improved control around IG and other related issues.	FOI and SAR statistics Periodic ICO audits Annual IG Toolkit submission GDPR readiness	On-going	Regular

SR 33	Impact of Welfare Reform	Owner	Chief Finance Officer	Leader's Portfolio	Current Risk Score	D	II	Reviewed	July 2017
Link to Corporate Priority		Supporting Medway's People to Reach Their Potential and Giving Value for Money							
Vulnerability			Trigger		Consequences				
<p>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.</p>			<p>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:</p> <ul style="list-style-type: none"> - 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 		<ul style="list-style-type: none"> <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.	<p>Implementation of the following</p> <ul style="list-style-type: none"> • Council tax reduction scheme; • Discretionary relief; • Enhanced housing benefit; • Welfare provision. 	<p>The number of customers receiving a housing duty presenting with the following reasons for their homelessness</p> <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. <p>KPI rent arrears as % of rent debit.</p>	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 consistent message.	<p>Establish a Welfare Reform Officer Group incorporating members from relevant services.</p> <p>Produce and deliver an action plan to implement the recommendations of the Welfare Reform Members Task Group.</p> <p>Regular reporting.</p>	<p>Monitor action plan and provide six monthly update reports to O&S Committee:</p> <p>August 2016</p> <p>February 2017</p> <p>August 2017</p> <p>February 2018</p>	<p>Welfare Reform Officer Group</p> <p>Six monthly updates to BSD O&S</p>			

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

SR 34	Successful delivery of the corporate transformation programme	Owner	Assistant Director Transformation	Corporate Resources Portfolio	Current Risk Score	C	II	Created	July 2017
Link to Corporate Priority		Giving Value for Money; Using digital innovation to meet residents' needs							
Vulnerability		Trigger			Consequences				
<p>The Council has established a corporate transformation programme designed to:</p> <ul style="list-style-type: none"> Improve outcomes for residents Support culture change so the council operates effectively in the digital age Deliver savings and support management of demand Establish a sound technical platform to support digital innovation <p>The programme will require collaboration between all services and the transformation team which has been established to drive change, innovation and delivery of cashable savings.</p> <p>There is a risk that the organisation as a whole does not have the capacity to actively participate in the programme which will put the intended outcomes, including savings which are built into the Council's medium term financial plan, in jeopardy.</p> <p>If too much focus is given to savings delivery at expense of transformational and culture change this may put delivery of sustainable change at risk</p>		<p>Whilst the savings attributed to the programme are relatively modest in relation to the council's overall operating costs, the programme profile assumes delivery at pace.</p> <p>Key triggers are:</p> <ul style="list-style-type: none"> Decisions are not made to prioritise digital channels / move to digital only to enable savings to be realised User centred design methods are not consistently applied Services are not able to dedicate staff to the transformation project due to competing priorities Transformation work is not seen as an integral part of service business The council is unable to attract and retain the skillset needed to design and deliver digital innovation Corporate support services have too many competing priorities 			<ul style="list-style-type: none"> Programme outcomes are not delivered Budget savings expectations are not fully met Customer expectations about online service delivery are not met impacting on satisfaction with the council and its reputation Customers don't use digital channels Staff not given the tools to do their jobs in most efficient manner The opportunity is missed to benefit from data analytics to tailor services and manage demand through preventative work 				

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR34.01	Active leadership by service Assistant Director	Corporate Management Team	Business problems and issues are addressed, and service costs are reduced. Transformation activity is viewed as part of mainstream work.	Appropriate priority is given to transformation work by services with resources clearly identified	Quarterly review by CMT	Monthly at Transformation Board. Managers
SR34.02	Leadership development delivered through the Leadership Academy	Chief People Officer	Managers demonstrate required leadership behaviours	Skilled and effective leaders.	Academy launched May 17	Through PDR process
SR34.03	Culture change programme given sufficient priority and resources	Transformation Board	Transformation activity is viewed as part of mainstream work.	Data and customer insight are valued and used as part of service redesign	Culture change programme scoped and signed off by Transformation Board June 17 (tbc)	Quarterly at Transformation Board
SR34.04	Use specialist recruitment agency to help us attract staff experienced in digital transformation, combined with developing internal talent through secondment programme.	AD Transformation	Digital skills developed and retained in house	.Highly functioning team	Ongoing as required	Quarterly at transformation board
SR34.05	Clear transformation programme prioritises projects and resource allocation	AD Transformation	Transparent process for prioritising projects to give balanced delivery of programme outcomes. Savings targets achieved	Prioritised work programme with adequate resourcing. Business cases for any additional investment required	Service roadmap agreed Quarterly review of relative priorities by Transformation Board	Monthly at transformation board
SR34.06	Decisions are made by the Transformation Board / Cabinet to prioritise digital channels / digital only to maximise benefits realisation	Transformation Board	More expensive telephone and face to face channels are only used for complex services where customer need dictates this	Customer access strategy and assisted digital strategy	Customer access strategy agreed June 17 (tbc) For each service going through the programme channel shift targets are agreed as savings are calculated	Quarterly at transformation board
SR34.07	Clear communication plan in place	AD Transformation	High levels of customer take-up of and satisfaction with digital service delivery	Communications plan	Plan agreed by Transformation Board	Quarterly at transformation board

SR35	Homelessness	Owner	Assistant Director Physical and Cultural Regeneration	Deputy Leader and Housing Community Services	Current Risk Score	B	II	Created	July 2017
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Link to Corporate Priority **Maximise Regeneration and Economic Growth**

Vulnerability	Trigger	Consequences
<p>An increasing demand in relation Councils Duty to provide temporary accommodation under s188/193 of HA 1996 caused by continuing high levels of homelessness and lack of affordable housing supply.</p> <p>Reductions in the level of income achieved due to welfare reform increasing the risk of overspend on the council's budget.</p> <p>Increase in the rough sleeping population in the Medway area.</p> <p>Changes to legislative frameworks placing greater demand on services.</p>	<ul style="list-style-type: none"> • Increase in the number of households residing in temporary accommodation • Reduction in the councils ability to maximise prevention opportunities • Lack of appropriate temporary accommodation stock • Reduction in the availability of permanent affordable housing 	<ul style="list-style-type: none"> - Increasing and unsustainable overspend of allocated budget - Poorer outcomes for children and vulnerable adults - Increased legal challenge and penalty from the LGO - Reputational Damage - Failing to achieve Members' expectations.

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR35.01	Increase the prevention activity undertaken including opportunities for joint working across directorates as well as with other organisations such as DWP	Assistant Director Physical and Cultural Regeneration/ Head of Strategic Housing	Opportunities to prevent homelessness are maximised via service delivery and through the development of joint working/referral protocols with other services/organisations	<p>Increase in the amount of successful prevention cases</p> <p>Dedicated resource to tackle prevention of homelessness.</p>	Monitoring throughout 2017/18 Government P1E quarterly returns.	Monthly(Service Monitoring) Quarterly (DCLG returns)
SR35.02	Increase opportunities of affordable housing supply	Assistant Director Physical and Cultural Regeneration/ Head of Strategic Housing	Ensure that the need for affordable rented housing is recognised across the organisation enabling an increase in the amount of affordable homes delivered in line with the Planning Policy.	<p>Increase in the amount of successful prevention cases</p> <p>Dedicated resource to tackle prevention of homelessness.</p>	Monitoring throughout 2017/18 Government P1E quarterly returns.	Monthly(Service Monitoring) Quarterly (DCLG returns)

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
			Increased provision of affordable housing.	Take forwards plans for the Council to intervene in the market to provide affordable housing.		
SR35.03	Establish a strategic group to assess the scale of rough sleeping in Medway and lead on the development of interventions to reduce the issue	Assistant Director Physical and Cultural Regeneration/ Head of Strategic Housing	A clear, cross-sector commitment to the way that rough sleepers in the Medway area are assisted to secure alternative accommodation.	Reduction to the amount of visible rough sleeping activity in the area and relating complaints and media attention. Clear strategy in place for tackling cold weather provision and associated issues.	Ongoing outcome reporting to be established through strategic group.	Ongoing/Six monthly
SR35.04	Ensure that options for the provision of temporary accommodation are transparent and reviewed in light of grant funding changes rather than subsidy to ensure that Medway is getting value for money.	Assistant Director Physical and Cultural Regeneration/ Head of Strategic Housing	Adoption of a Dynamic Purchasing System (DPS) for the Council to secure accommodation in the Private Sector. Effective/Accurate Budget Monitoring Further increase options for lower cost TA provision. Implement a "tenancy management" type structure for management of TA – Maximising the income achieved via Housing Benefit	All private sector accommodation secured via the DPS. Minimise rise in price for TA units in the private sector Increase the supply of accommodation provided in the HRA Emergency use only for TA Provision that is outside of usual pricing structure.	Monitoring throughout 2017/18 Government P1E quarterly returns. Budget Monitoring	Quarterly monitoring
SR35.05	Monitor the progress of the Homelessness Reduction Act Ensure that structure and resource are aligned to respond appropriately.	Assistant Director Physical and Cultural Regeneration/ Head of Strategic Housing	Impact of proposed legislation fully mapped and operational practice reviewed to ensure compliance.	Revised procedure, protocols and working practices rolled out across the Strategic Housing Service	Limitation of successful legal challenges upon enactment of the Bill. Subsequent monitoring framework from DCLG.	Strategic Housing Management Team/ P1E Quarterly return

SR36	Alternative service delivery models	Owner	Corporate Management Team	Leader's Portfolio	Current Risk Score	B	II	Created	July 2017
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger		Consequences				
<p>A growing number of council services are operated through alternative delivery models including outsourcing/insourcing, trusts, joint ventures, Local Authority Traded Companies, partnerships and shared services and joint commissioning.</p> <p>The primary driver for entering into such models is typically to reduce costs while protecting service delivery</p>			<p>Weak options appraisals/businesses cases; opportunities overstated as commercial markets are not realised, and risks understated.</p> <p>Failure to effectively manage (staffing, relationships, agreements/contracts) the transition between the council and the service delivery model.</p> <p>Limited due diligence conducted on new service provider or key individuals in that provider.</p> <p>Weak or unclear agreements/contract and governance arrangements.</p> <p>Failure of a provider, risking failure to deliver services.</p> <p>Weak or ineffectual oversight / management / monitoring by the council as expertise is transferred to the new delivery model.</p>		<ul style="list-style-type: none"> <input type="checkbox"/> Failure to meet statutory responsibilities to residents. <input type="checkbox"/> Unexpected costs from new delivery model. <input type="checkbox"/> Delivery model not sustainable; responsibility for delivery of function unexpectedly transfers back to the council. <input type="checkbox"/> Reputation of council damaged by activities of delivery model. <input type="checkbox"/> Council or delivery model expectations not met by new arrangements. <input type="checkbox"/> No option to renegotiate terms if circumstances change. <input type="checkbox"/> Reduced influence / control of the council. <input type="checkbox"/> Delivery model operates at a loss with deficit met from local taxation 				

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR36.01	Robust options appraisals, detailed business cases prepared	Relevant Assistant Director for each Service	Ensure effective decision making	The council only enters into arrangements that are beneficial to the service and/or budget and are sustainable	Cabinet considers all business cases prior to any alternative arrangements being agreed.	Regular. Six monthly reporting to Cabinet of MCG and Medway Norse performance.
SR36.02	Project management approach to implementation	Relevant Assistant Director for each Service	Clear agreed milestones for implementation in agreed timescale	Smooth transition into new delivery model	Ad hoc as necessary	Regular
SR36.03	Communication & stakeholder management	Relevant Assistant Director for each Service	Stakeholders informed / consulted	Smooth transition into new delivery model	Ad hoc as necessary	Regular
SR36.04	Sound legal and procurement advice on chosen delivery model	Chief Legal Officer	Robust agreements / contracts with clarity over responsibilities	Smooth operation of services, effective dispute resolution	Ad hoc as necessary	Regular
SR36.05	Robust scrutiny / oversight mechanisms to ensure clear corporate understanding	Corporate Management Team	<ul style="list-style-type: none"> - Delivery model and council held accountable for quality and cost of service - Council able to rely on financial information for robust financial planning 	<ul style="list-style-type: none"> - High performance - Financial resilience 	Ad hoc as necessary	Six monthly reporting to Cabinet and Business Support Overview and Scrutiny committee.
SR36.06	Reporting from and on delivery models with clear outcomes	Relevant Assistant Director for each Service	Effective performance management	High or improving performance of delivery model	Ad hoc as necessary	ditto
SR36.07	Business continuity arrangements	RCET Head of Performance & Intelligence	Delivery model and council both have clear roles and responsibilities in the event of any business continuity incident	Continuity of service	Ad hoc as necessary	Regular



Risk Management Framework

Medway Council

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Version control

Version No.	Change	Date

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1. Introduction

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

1.2 This strategy incorporates and:

- promotes a common understanding of risk;
- proposes a methodology that identifies and manages risk in accordance with ISO31000
- outlines roles and responsibilities across the Council;

1.3 The strategy sets out:

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

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

2. The Principles of Risk Management

2.1 The following diagram (fig 1) sets out the eleven principles set out in ISO31000 associated with sound risk management, which if adopted, provides Medway Council with the following benefits:

- Improved efficiency
- Improved service
- Improved decisions
- Reduced losses
- Improved morale
- Enhanced reputation
- Meeting objectives
- Improved quality
- Helps identify priorities
- Helps deliver priorities
- Defines and manages expectations
- Maximises delivery within resource allocation
- Helps to increase resources

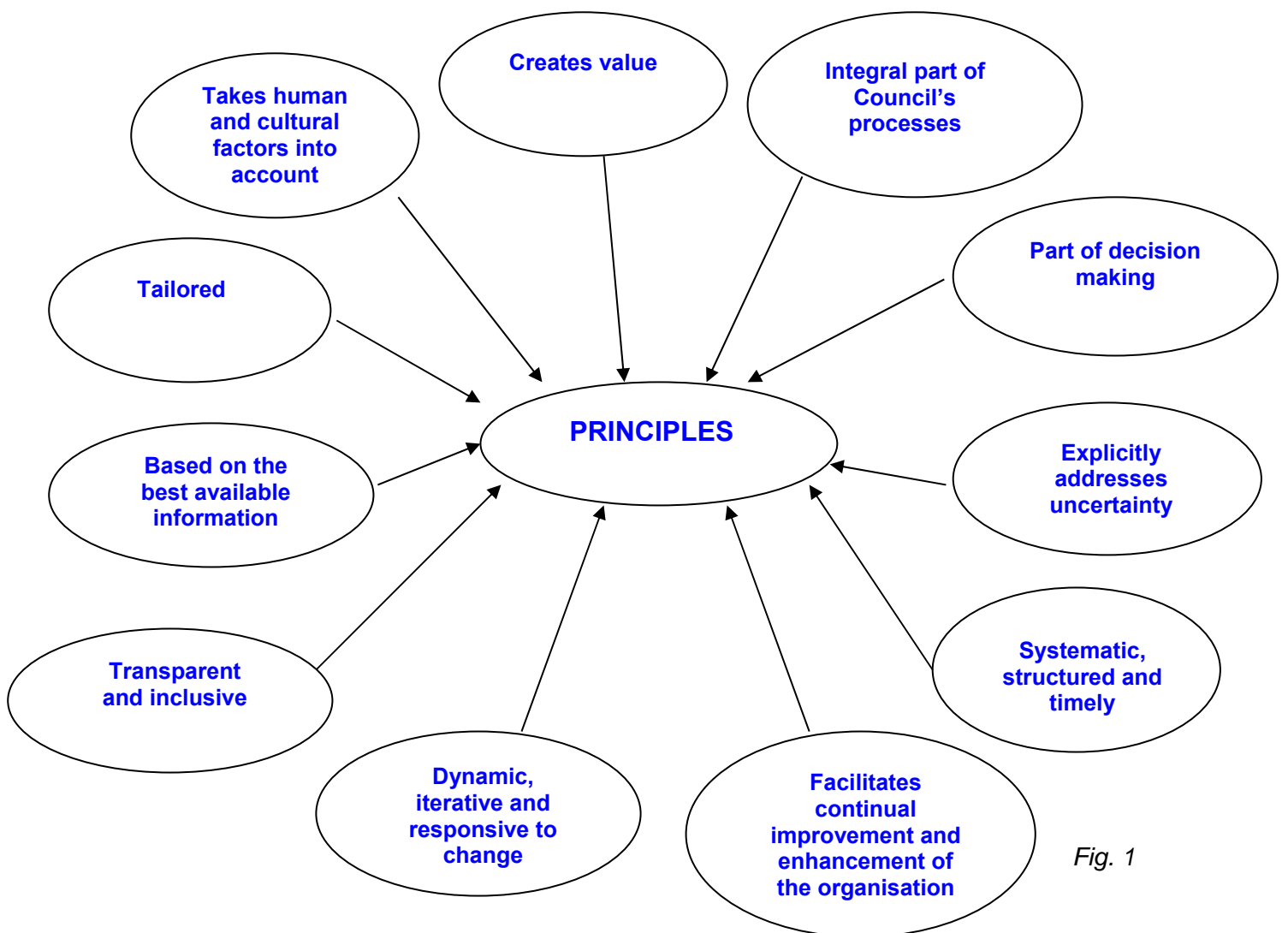
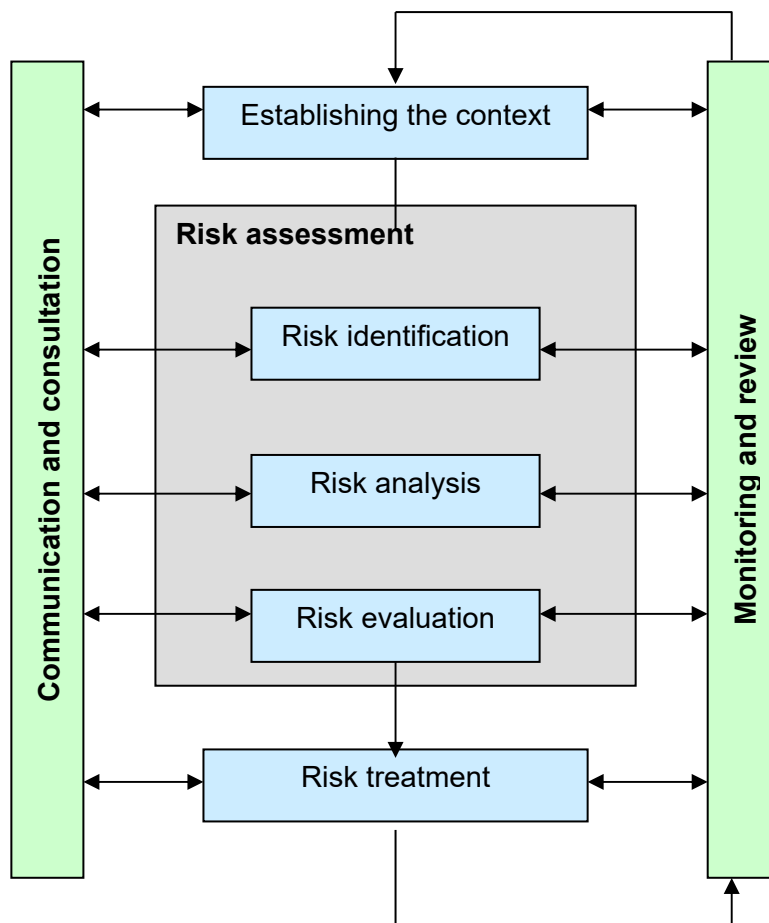


Fig. 1

3. What is Risk Management?

- 3.1 Risk management is a process which aims to help the Council understand, evaluate and take action on all their risks. It supports effective decision making, identification of priorities and objectives and increases the probability of success by making the most of opportunities and reducing the likelihood of failure.
- 3.2 Risk helps to deliver performance improvement and is at the core of good governance, business planning, managing change, innovation, budget setting, project management, equality and access, contract management. Risk Management also supports the delivery of Medpay and Investors in People accreditation. Risk Management needs to be practised at both management and service delivery level. This enables the effective use of resources; helps secure the assets of the organisation and continued financial and organisational well-being.
- 3.3 The process of risk management can be illustrated through the risk management cycle:



ISO 31000:2009

Fig. 2

- 3.4 The spine of the process is set out as follows:
- **Establish the context:** Defining the context (external and internal), setting the scope and agreeing the risk criteria.
 - **Identify risks:** Identifying and describing the risks. Risk description includes understanding the causes, consequences and control measures for each risk.
 - **Analyse risk:** Developing and understanding of the risk under different control scenarios. Key questions are:
 - What is the consequence of the risk?
 - What is the likelihood of the risk?
 - **Evaluate risks:** This is the “so what?” question. With a given consequence and likelihood, is the risk tolerable to the organisation, given the risk criteria? The purpose of this stage is to support decision-making.
 - **Treat risks:** One or more options are selected to manage risk. This stage incorporates both decision making and implementation. It also includes the decision to take no further action to manage the risk.
- 3.5 This process is continuous, with ‘monitoring and review’ at each stage (i.e. at any stage it is not too late to update or redefine an earlier stage).
- 3.6 ‘Communication and consultation’ with external and internal stakeholders should take place during all stages of the risk management process. Communication and consultation is required to ensure that stakeholders can input into the process, be engaged and help support the treatment of risk.
- 3.7 Medway Council already has a well defined financial and performance management structure including reporting arrangements via ‘the Golden thread’. Figure 4 on page 14 demonstrates how the risk management process should be embedded within this structure.

4. Risk ranking

- 4.1 Risks need to be understood in relation to the level of controls applied:
- 4.1.1 Assuming there are no control measures in place. This is usually referred to as ‘**inherent risk**’. It is a useful indication of the total exposure that the Council may have to a particular risk, if no control measures are applied or if current controls are ineffective.
- 4.1.2 With control measures that are currently in place, taking into account their effectiveness. This gives the level of risk actually faced. This is usually referred to as ‘**residual**’ risk.

4.1.3 Assuming possible additional actions are implemented (such as adding control measures or gathering more information). This is the **'target'** level of risk that might arise. Target risk is used to determine whether the level of risk will be acceptable in the future and whether sufficient actions are being taken

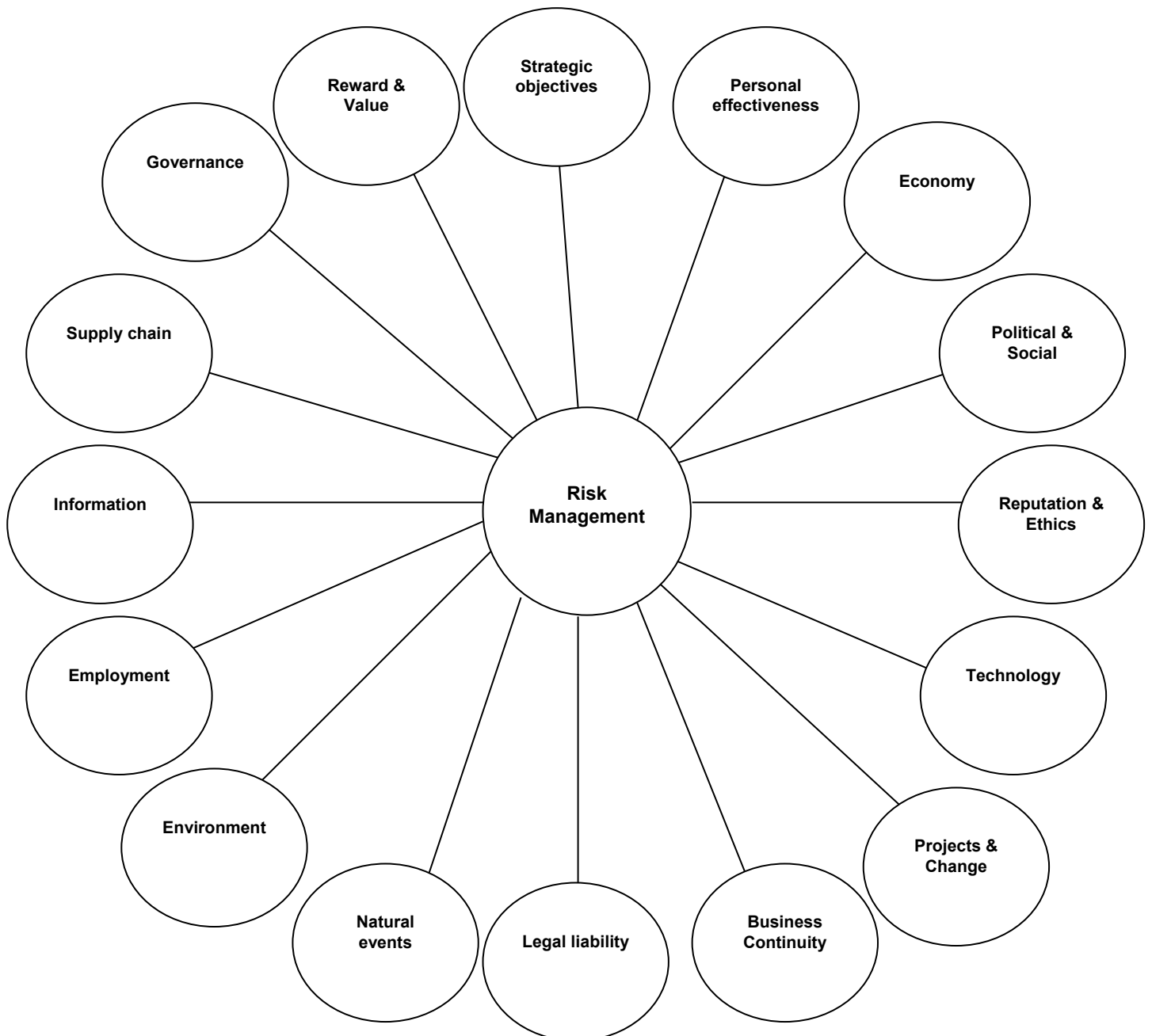
4.2 Strategic v Operation risks

Strategic risks: Those which have been identified as potentially damaging to the achievement of the Council's objectives and departmental/ service business plans. Hypothetical examples might be the Council not being able to meet statutory duties i.e. provision of Special Educational Needs or the Council fails to bid successfully for any European funds.

Operational risks: Risks which managers and staff are likely to encounter in the day-to-day work situations. Hypothetical examples might be health and safety risk for instance if it was deemed our highways were unsafe or waste collection arrangements were exposing the public (and staff) to life threatening risks i.e. chemical spills/asbestos etc.

5. Risk identification

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



Risk identification tool (A holistic model)

Fig. 3

6. Risk analysis

6.1 Risks are benchmarked against corporate priorities and are prioritised by using a risk scoring calculation for both the downside of risk and the opportunities that can be seized with a desirable outcome:

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

Opportunity	Threat
I Transformative	I Catastrophic (Showstopper)
II Major	II Major
III Moderate	III Moderate
IV Minor	IV Minor

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

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

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

6.3 To help the Council make that decision, all risks will be categorised using the measures detailed at 3.6 and plotted against the Council's Strategic Risk matrix shown above.

6.4 The Council have agreed the tolerance line be drawn at C2 (Significant & Moderate). The Council will then decide what action to take to monitor such risks.

The Risk Matrix

Likelihood				
A Very high 1:2 probability				
B High 1:10 possible				
C Significant 1:50 possible				
D Low 1:80 possible				
E Very low 1:100 possible				
F Almost impossible 1:1000 possible				
	IV - Minor	III - Moderate	II - Major	I - Catastrophic
Negative impact				
Objective driven (Customer, people, society or key performance)	Slippage and minor deviation	Failure to meet an objective	Failure to meet several objectives	Severe damage to the Council and its services
100% £500m	Unforeseen expenditure			
Budget driven (income, expenditure, contractors and budget allocation)	0.25%	2.50%	10%	25%
	£1.25m	£12.5m	£50m	£125m

- 6.5 Risks will be regularly monitored using service planning and Deputy / Assistant Directors Quarterly Reports. Risks above the tolerance line (C2) will be escalated to the next management level as detailed in Appendix B.
- 6.6 Effective risk management includes regularly reviewing our emergency planning programmes and service continuity management to maintain a high standard in our response to potential crises. This means developing, implementing and maintaining an action oriented process for responding to any emergency, managing major incidents and recovering the service level to the local community.

7. Roles & Responsibilities

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

Who	Roles & Responsibilities
Members	<ul style="list-style-type: none"> • commit to the Risk Management Framework. • review risks through the 6 monthly reports on key strategic risks and information contained in the Council Plan, Cabinet reports and AD Quarterly Reports.
Portfolio holders	<ul style="list-style-type: none"> • Agree and review risks treatments and escalation with Assistant Directors quarterly
Corporate Management Team (CMT)	<ul style="list-style-type: none"> • identify, review and manage the Council's key strategic risks above the tolerance level every 6 months. • provide leadership and support to promote a culture in which risks are managed with confidence at the lowest appropriate level. • Agree the risk management framework for the Council
<p>Strategic Risk Management Group</p> <p>(Membership shall be: A chair who is a nominated Director and appropriate representation from each Directorate with an overall responsibility for risk issues.)</p>	<ul style="list-style-type: none"> • chair of group to sponsor risk management at CMT (Director of Regeneration, Community and Culture). • ensure the Council's key strategic risks are reviewed, updated and presented to CMT every 6 months. • regularly review the risk management and control process employed across the Council including the risk management framework. • review findings and recommendations of external auditors, internal audit or other relevant third parties in relation to risk management. • review the impact of any changes in the organisation on the risk management process and the response to these changes including the update of the risk register. • champion risk management, the practice, awareness, buy-in across the organisation and identify training needs. • provide strategic support to the development of service continuity plans and the emergency planning service

Who	Roles & Responsibilities
Directorate Management Teams (DMT)	<ul style="list-style-type: none"> • Ensure appropriate representation on the Strategic Risk Management Group • ultimate responsibility for the management of all directorate risks and maintenance of a sound system of internal control within the directorate and across partnership working • identify, review and monitor the effectiveness of the risk management actions relative to the risks to the directorate in the directorate risk register on a quarterly basis • reflect significant changes to business objectives and related risks and, where relevant, address them in the Directorate Business Plan
Deputy / Assistant Directors	<ul style="list-style-type: none"> • oversee the effective implementation of risk management within their service area within the agreed principles and framework • discuss significant key risks and risk management actions with their portfolio holders and report on progress through the AD Quarterly Reports • alert Directorate Management Team (DMT) if impact, opportunity or likelihood of the risk increases • Agree and review risks treatments and escalation with Portfolio Holders quarterly
Service Managers	<ul style="list-style-type: none"> • identify risks for their service areas, assess them for opportunity, likelihood and impact, propose actions to treat them and allocate responsibility for the controls treating the risk within the service risk register • record risk treatment into service plans • discuss risks and risk treatment actions with AD and report progress through the service managers quarterly update i.e SMQ • alert their Assistant Director if impact, opportunity or likelihood of the risk increases
Staff at all levels within the Council	<ul style="list-style-type: none"> • identify, assess and report risks within their service areas • practice risk management in their day to day activities • alert their line manager if impact, opportunity or likelihood of the risk increases

8. Linking Risk Management to the 'Golden thread' and reporting

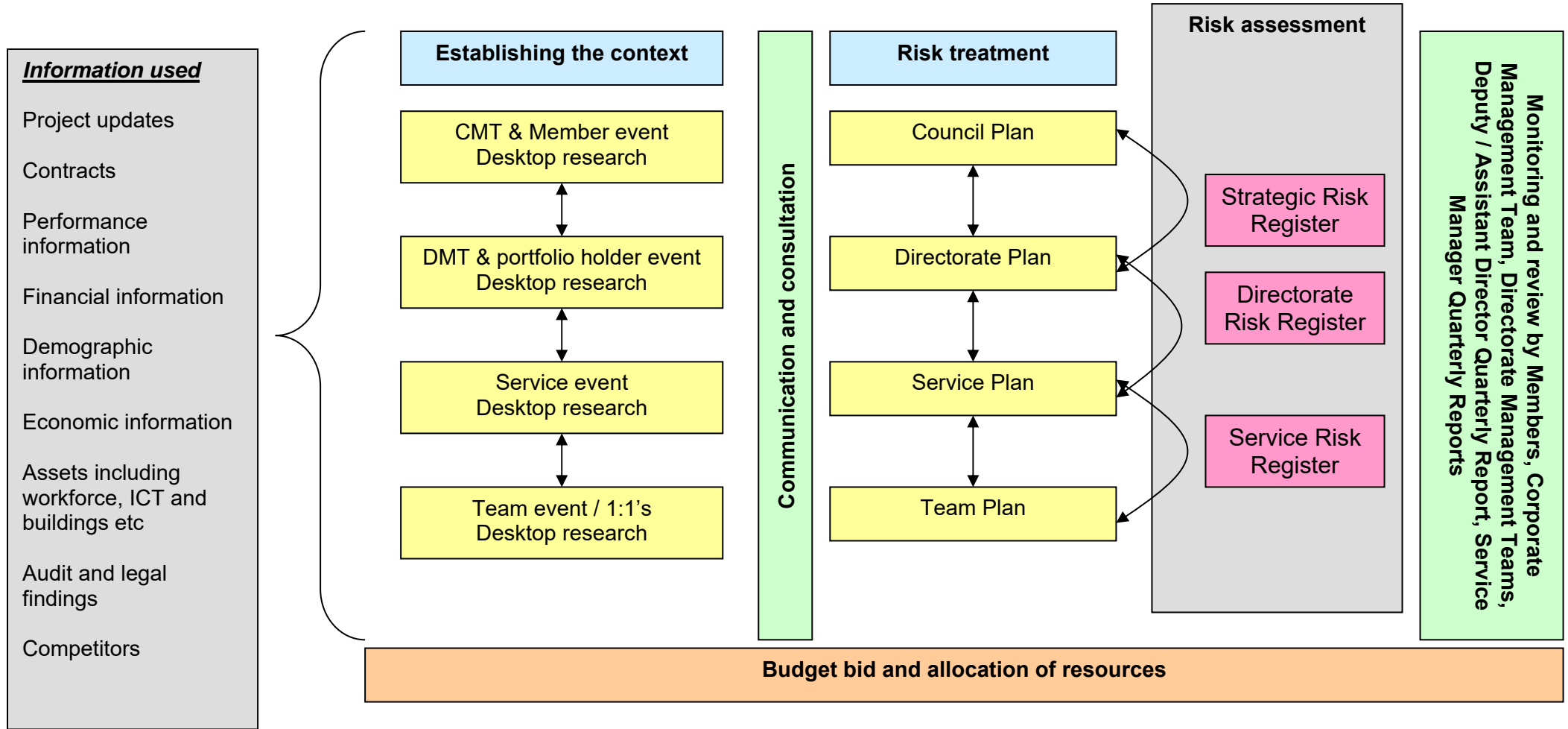


Fig. 4

**Medway Council Risk Management Strategy
9. Monitoring and Escalation of Risk**

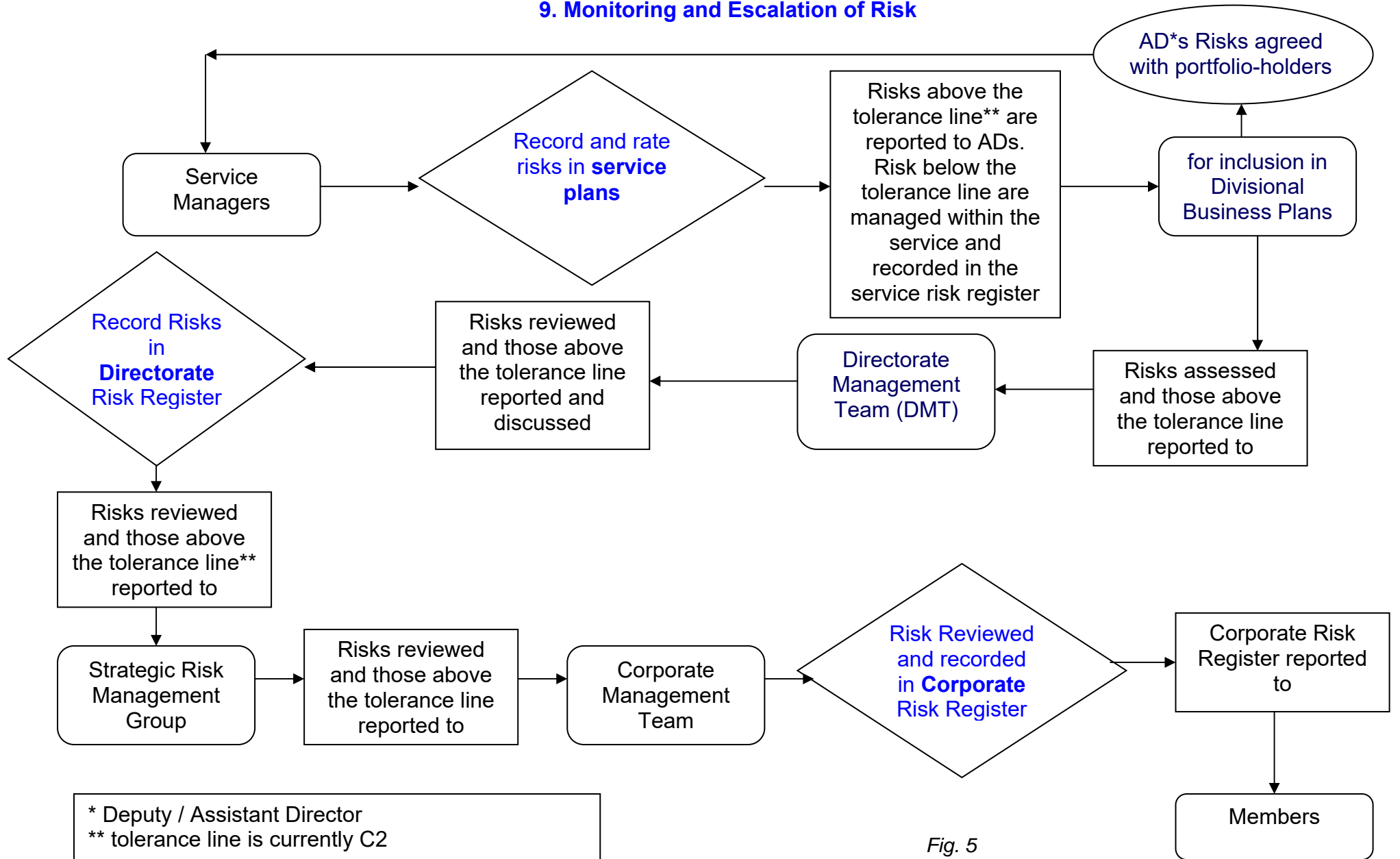


Fig. 5

