

**Gravesham Borough Council
Risk & Control Assessment**
(Assessment to be undertaken for all risks to be considered in developing the 2018-19 Corporate Risk Register)

Gravesham Borough Council's Corporate Risk Register is the result of an annual strategic risk management exercise that is conducted to identify, analyse and prioritise those risks that may affect the ability of the council to achieve its corporate objectives. Finance & Audit Committee have responsibility for monitoring the effective development and operation of risk management within the council and reviewing the Corporate Risk Register prior to its submission to Cabinet for approval. This document should be read in conjunction with the report in which the outcomes from the annual risk identification exercise are presented.

The following matrix is utilised when assessing whether a risk is a high, medium or low risk for the council to help determine which risks should be included in the Corporate Risk Register and which risks should be managed at departmental level:

The Risk Matrix

LIKELIHOOD	Very High	5	5	10	15	20
	High	4	4	8	12	16
	Medium	3	3	6	9	12
	Low	2	2	4	6	8
	Very Low	1	1	2	3	4
	High Risk		1	2	3	4
	Medium Risk		Negligible	Marginal	Serious	Critical
	Low Risk					
	IMPACT					

Likelihood		
Rating	Score	
Very High	5	On the evidence and knowledge of officers and members it is almost certain that this issue will occur sometime within the next year. The issue may have already occurred in previous years either at the council or elsewhere.
High	4	On the evidence and knowledge of officers and members it is very likely that this issue or event will occur in the coming year.
Medium	3	On the evidence and knowledge of officers and members the issue is more likely to occur than not in the coming year.
Low	2	On the evidence and knowledge of officers and members it is unlikely that this event will occur in the coming year. Occurrences of this risk have occurred in the past but occurrences are very few and far between.
Very Low	1	On the evidence and knowledge that this event would occur in either the coming year or in future years.
Impact		
Rating	Score	
Critical	4	The financial impact on the authority would threaten the council's financial stability. The delivery of service to the public could be affected either permanently or for a long duration and the council could not achieve its key objectives. There would be a seriously damaging impact on the council's reputation through poor media coverage.
Serious	3	The financial impact on the authority would be significant although would not threaten the stability of the council's financial position. Services would experience disruption with the delivery of services being affected for a number of days. Whilst the council's objectives would be met there would be significant delays in achieving them. The council would endure poor media coverage for a period of time affecting the council's reputation which would take some time to recover from.
Marginal	2	There may be minimal financial impact on the authority and/or the cost of mitigating the risk exceeds the financial implications of the risk there may be some minor disruption to services and possibly some small delays in achieving the council's objectives. Although there may be some poor media coverage it will not affect the council in the long term.
Negligible	1	There is little or no financial impact of the risk to the authority. There would be no disruption to the delivery of the council's key objectives or frontline services. There is no risk of this risk impacting on the council's reputation

The Corporate Risks that have been assessed for 2018-19 are:

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| <ol style="list-style-type: none"> 1. On-going financial viability of the Council (existing) 2. Changes in national priorities and legislative change (existing) 3. Organisational capacity/resilience (existing) 4. Housing revenue account services (existing) 5. 100% Business Rates Retention Scheme (existing) 6. Implementation of the Homelessness Reduction Act (new) 7. Universal Credit (new) 8. General Data Protection (GDPR) (new) | <ol style="list-style-type: none"> 9. Cyber Attack (new) 10. UK leaving the European Union (new) 11. Employee Relations (new) |
|---|--|

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<p>Risk: 1. On-going financial viability of the Council (existing)</p>	<p>Owner: Director (Corporate Services) & Assistant Director (Corporate Services)</p>
<p>Risk Background: Financial pressures on local government continue to put unprecedented strain on councils. The multi- year local government finance settlement covering the four year period from 2016-17 to 2019-20 will deliver a reduction in funding for the council equivalent to £2m (43%) over the period. By 2019-20 overall level of Central Government Grant funding received by the Council will have reduced by £5m (65%) since 2010-11. The council has also be affected by changes to the New Homes Bonus Scheme which will see an 80% reduction in the funding received from this stream by 2020-21 compared to the anticipated level of funding prior to the scheme redesign. Government continues with its intentions to reform the Business Rates Retention Scheme which is likely to bring increased pressure to the council's financial sustainability and well as additional responsibilities over and above those already delivered by the Council. Looking ahead, the volatility in local government funding shows no sign of relenting with the Spending Review scheduled for 2019 and the impact of the ongoing Fair Funding Review likely to be felt in 2020-21.</p> <p>The Medium Term Financial Strategy identified a £2.5m funding gap by 2019-20, with this gap widening to £2.9m due to the changes in New Homes Bonus. The council has delivered some £1.9m of base budget savings through its Bridging the Gap activity, however additional pressures have emerged in the last year from ongoing dampening of investment income due to low interest rates and anticipated increases in staffing costs in 2018-19 and 2019-20 driven by the final pay offer made by the National Employers for Local Government Services. The council therefore has a new budget gap of around £2.0m, with £1.6m of this required to be delivered by 2021-22. Just over £1.0m of these savings will be delivered from the further Bridging the Gap activity already identified, leaving a residual gap of £1.0m.</p>	<p>Consequences:</p> <ul style="list-style-type: none"> Financial savings not achieved. Budgets exceeded and/or reserves depleted. Problems stored up for the future. Minimum working balance of £1.25 million is not maintained. Needing to make use of £2 million General Revenue Reserve set-aside to mitigate financial risks. Unplanned cuts in services needed and/or drop in quality of delivery, potentially leading to damage to Council's reputation New legislative requirements not met. Uncertainty over future large projects. Potential for infrastructure to deteriorate.

INHERENT RISK SCORE					RESIDUAL RISK SCORE						
Likelihood	5	Impact	4	Score	20	Likelihood	4	Impact	3	Score	12

Controls to eliminate, reduce or transfer risk	Lead Officer(s)	Control Narrative	Control Update	Assessment of residual risk
1.1 Continued delivery of Bridging the Gap activity	Director (Corporate Services) Assistant Director (Corporate Services)	The Medium Term Financial Strategy (MTFS) was fundamentally reviewed and updated to reflect the financial position of the council going into the 2016-17 financial year, identify the funding gap to be addressed and set the strategic plan (Bridging the Gap) for managing the council's finances through to 2019-20.	Delivery of Bridging the Gap activity is on-going, with some £1.9m of activity reflected in the setting of the General Fund revenue budget for 2018-19. Six-monthly updates on progress in delivering each workstream are provided to Cabinet Members to ensure focus is retained on delivering outstanding actions. The latest MTFP indicates a residual budget gap of £2.0m, with £1.6m of base budget savings required to be delivered by 2021-22. Whilst the council is able to plan activity to close this funding gap, this figure is based on information available at this point in time; further volatility will require additional activity.	
1.2 Continued maintenance of the Medium Term Financial Plan	Assistant Director (Corporate Services)	The Medium Term Financial Plan (MTFP) spans 10 years and is regularly reviewed and updated to ensure the Council has a sound and realistic plan for managing the Council's finances moving forward. The MTFP is also routinely shared with Management and Members.	The MTFP provides a financial representation of the delivery of the MTFS and can only be based on information available from government around funding available and assumptions on budgetary pressures from inflation, pay increases and investment returns; unknown pressures and further volatility will impact on the future years of the MTFP.	

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1.3 Continued diversification of investment activity	Director (Corporate Services) Assistant Director (Corporate Services)	To improve the return on council cash balances, the council has sought to diversify its investment activity in the following ways: <ul style="list-style-type: none"> • £10m was been placed with three Property Fund Managers during 2016-17; • A further £10m will be invested in three Multi-Asset Funds in late January/early February 2018; • The council has put in place a Commercial Property Acquisition Strategy intended to deliver an ongoing revenue rental stream. The initial tranche of £10m was used to acquire three commercial properties. From the second tranche of £10m, one property has been acquired. 	Diversification has delivered greater returns from cash balances, though at a higher level of risk than the council has been previously exposed to. This risk has been managed through undertaking a range of investment activity. Generating returns from traditional investment sources continues to be challenging, with the council's treasury advisor currently forecasting that base rate will remain at 0.5% until the end of the calendar year, with a further increase at the end of 2019.	
1.4 Involvement in the Kent & Medway Business Rate Pilot	Chief Executive Director (Corporate Services)	Government has been keen to progress its reform of Business Rates and, in December 2017, announced that Kent & Medway had been successful in its bid to become a Business Rates Pilot for 2018-19. In becoming part of a Pilot area, the council has agreed to forego Revenue Support Grant in return for retaining a higher share of business rates. The 50% of the Business Rates aggregate for Kent that would have previously been returned to Treasury will be shared between Kent authorities and distributed through a Financial Sustainability Fund and Housing and Commercial Growth Fund. Growth in business rates above the baseline amount for each authority will be continue to be directed by the mechanism put in place under the Kent Business Rate Pool.	It is anticipated that the achievement of Pilot status will provide a direct one-off financial benefit to the council in 2018-19, estimated to be between £250,000 and £570,000. This benefit will be taken directly to Working Balances and use to fund services, but is currently only for one year.	
1.5 Continuation of the programme of development for the council's Financial Management System.	Assistant Director (Corporate Services)	The council has identified the need to invest in its Financial System as a means of maintaining and further enhancing financial control.	The project to implement Automated Invoicing is almost complete and is due to be rolled out to departments from February 2018. Activity will then focus on implementing the web-based version of the Financial System and enhancing existing budget monitoring processes.	
1.6 Robust budget monitoring arrangements in place	Assistant Director (Corporate Services)	Budget monitoring arrangements continue, with Management Team receiving monthly monitoring information relating to significant items of income and expenditure (staffing costs, fees and charges income. Quarterly budget monitoring reports are submitted to Cabinet and Finance and Audit Committee. As part of the budget setting process, a review of reserves has been carried out to ensure that earmarked reserves continue to be fit for purpose.	Work is ongoing to enhance usage of the council's Financial Management System, with the intention to reduce the requirement for manual intervention in reporting and increase the ability for budget holders to 'self-service'. As budgets become tighter, there may be less opportunity to reduce budgetary requirements, unless there is a fundamental change in the service or the manner of delivery.	

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<p>Risk 2.: Changes in national priorities and legislative change (existing)</p>	<p>Owner: Chief Executive & Management Team</p>																						
<p>Risk Background: The council needs to keep abreast of developments in legislation to ensure that it is best placed to respond to any changes it may face. Failure to account for the Government's legislative programme may involve:</p> <ul style="list-style-type: none"> • Change of direction for the council may be required. • Changes result in additional costs/ workloads for staff. • Severe financial position encountered which may restrict which services the council can deliver (see Risk 1). • Failure to meet stakeholder expectations. • Funding pressures / increased costs of working. • Staff morale falls with potential for sick absence due to stress. • Increased scrutiny from Members and other relevant bodies. 	<p>Consequences:</p> <ul style="list-style-type: none"> • Change of direction for the council may be required. • Changes result in additional costs/ workloads for staff. • Severe financial position encountered which may restrict which services the council can deliver (see Risk 1). • Failure to meet stakeholder expectations • Funding pressures / increased costs of working • Staff morale falls with potential for sick absence due to stress. • Increased scrutiny from Members and other relevant bodies. 																						
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Controls to eliminate, reduce or transfer risk	Lead Officer(s)	Control Narrative	Control Update	Assessment of residual risk
2.1 Continued circulation of monthly policy & legislative briefings	Corporate Performance Manager	Monthly Policy Briefings are prepared and circulated to Management Team and Wider Management Team to update on key issues emerging from central government departments, including new and proposed legislative change	Activity is ongoing to enhance knowledge of new and proposed legislative change. Whilst this provides awareness of change, it will not always affect the impact on the council of change.	
2.2 Make proactive arrangements to respond to consultations from central government departments and agencies.	Wider Management Team	Where it is considered the council has the opportunity to help shape government policy, consultations are responded to formally by the council.	The council has taken opportunities to influence government policy, with some examples of where policy has been reshaped following on from consultation exercises, albeit the government will continue with its overarching legislative programme.	
2.3 Continue to deliver a training and development plan to Members. .	Committee Services Manager/Wider Management Team	The member training programme provides for specific Member duties governed by a statutory framework (Regulatory Board), and also for new legislative and policy decisions by government.	Activity is ongoing to enhance knowledge of new and proposed legislative change. Whilst this provides awareness of change, it will not always affect the impact on the council of change.	

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2.4 Maintain interaction with partner agencies.	Committee Services Manager/ Corporate Performance Manager	Following a review into the Gravesham Area Board, it was agreed that the council's interaction with partner agencies would be more effective if managed through the existing structure of Cabinet Committees, with partner agencies being invited to present items to Cabinet Committees in a guest capacity, in line with the council's constitutional arrangements.	The revised arrangements will continue to provide opportunity to enhance the council's knowledge of new and proposed legislative change and identify opportunities to work collectively. Whilst this provides awareness of change, it will not always directly affect the impact on the council of change.	

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<p>Risk 3: Organisational capacity/ resilience (existing)</p>	<p>Owner: Chief Executive & Management Team</p>																				
<p>Risk Background: The council's Management Team have put in place a number of arrangements to help to deal with the reduction in Government funding over the medium term, including approval of all new appointments and the cessation of temporary staff contracts and non-contractual overtime (except in exceptional circumstances). The council is actively considering future service delivery through service review options, shared service opportunities and where general staff turnover occurs and these actions will see changes to the staff establishment. This, in turn, will place greater demands on remaining staff, exposing the council to key person dependency and the risk of poor resilience. Management and staff can help improve organisational capacity and resilience by identifying critical tasks, working flexibly across departments and developing the skills and abilities of key leaders and staff. The council also need to ensure that it has plans in place to cope with other potential impacts on capacity which may result from severe weather, building damage or pandemic to ensure that key services can continue to be delivered.</p>	<p>Consequences:</p> <ul style="list-style-type: none"> Council unprepared for changes resulting in additional costs/ workloads for staff. Adverse impact on staff being asked to adopt more flexibility and a greater workload, when their managers have less flexibility to incentivise or support staff in light of pay and recruitment freezes. Essential services where there is greater staff turnover are adversely impacted compared to services with less staff turnover. Increasing organisational stress creating a negative impact on productivity and motivation. Potential adverse impact on public liability claims if services like repairs and maintenance are not completed or recorded properly. Increased likelihood of internal controls as a result of having fewer staff in post. Cuts in services and a potential drop in service quality possible. A fall in staff morale could increase staff sickness and stress. There will be a requirement to provide staff with additional support to overcome their work related health issues. 																				
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Controls to eliminate, reduce or transfer risk	Lead Officer(s)	Control Narrative	Control Update	Assessment of residual risk
3.1 Ensure there is effective allocation of resources through Management Team consideration of requests to fill vacant posts, service restructures and initial identification of potential shared services Effective allocation of resources.	Management Team	Resources are monitored and allocated to critical tasks.	Management Team continue to evaluate service requests to fill vacant posts; where appropriate departments have been restructured to align resources to services in order to improve service delivery. Service Review options have identified options for shared services which can increase resilience and key person dependency, though this needs to be balanced with retaining skilled staff.	
3.2 Progress the development of more flexible working arrangements and practices	Management Team	Staff are encouraged to work more flexibly across the organisation and opportunities for redeployment, secondments and project work are offered where appropriate.	Shared Service opportunities continue to be explored in the areas of Legal Services, Revenues & Benefits and Payroll. Service requests to fill vacant posts are encouraged to consider suitable internal candidates before seeking to appoint externally. As the organisation moves to realise visions for the future in order to achieve efficiency savings it will look to actively encourage staff to take up opportunities for redeployment and secondment.	
3.3 Continue to develop the skills of the workforce.	Director (Communities)	Training to support increased flexible working across the organisation is provided	The council remain committed both financially and in terms of resources to developing the skills of the workforce in order that they are able to take up alternative roles and redeployment opportunities in the future. Key to this is the retention of staff.	
3.4 Continue to provide initiatives to support the workforce.	Director (Communities)	Initiatives that support the workforce are provided and reviewed	Ongoing support in the form of an employee assistance programme and occupational health provision remain in place. Building on the retention of IIP Gold a review of joint staff working has resulted in a new joint staff forum with wider staff representation being set up to improve communication. Work also continues to improve staff Health & Wellbeing.	

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<p>Risk 4: Housing Revenue Account Services (existing)</p>	<p>Owner: Director (Housing and Regeneration) & Assistant Director (Housing)</p>																				
<p>Risk Background: In recent years there have been a number of pressures on the Housing Revenue Account (HRA) from government policy decisions, particularly in relation to legislated reductions in social rents, proposed changes to the way in which supported housing is funded and challenges from initiatives such as Pay to Stay and the requirement to sell high value dwellings. More recently, some of these pressures have been somewhat lifted; announcements from government include the intention to revert to back to rent increased from 2020-21 and further delay of the forced sale of higher value local authority housing. There also appears to be a softening of the Government's previous commitment to promoting home ownership.</p> <p>Gravesham is due to go 'live' of the 'Full' Universal Credit Service in May 2018. Earlier adopting authorities have experienced delays in payment of benefits und the service and increases in rent arrears. As a result, the council has increased its bad debt provision in 2018-19 in relation to rents by some £70k (30%).</p> <p>The council has also undertaken work to review the cost and efficiency of its tenant-related services with recent focus on the responsive repairs and maintenance service and sheltered housing. This activity will continue into the next financial year as a contribution to ensuring the ongoing financial sustainability of the HRA.</p>	<p>Consequences:</p> <ul style="list-style-type: none"> • Severe financial position encountered which may restrict which services the council can deliver. • Financial savings required not achieved. • Budgets exceeded and/or reserves depleted. • Problems stored up for the future. • Minimum reserve position of £3.0 million is not maintained. • Cuts in services and/or drop in quality of delivery possible leading to damage to Council's reputation. • New legislative requirements not met. • Uncertainty over future large projects. • Potential for housing stock to deteriorate. • Failure to meet stakeholder expectations • Staff morale falls with potential for sick absence due to stress 																				
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Controls to eliminate, reduce or transfer risk	Lead Officer(s)	Control Narrative	Control Update	Assessment of residual risk
4.1 Medium Term Financial Strategy in place	Director (Corporate Services) Assistant Director (Corporate Services)	The Medium Term Financial Strategy (MTFS) was fundamentally reviewed and updated to reflect the financial position of the HRA going into the 2016/17 financial year, set the strategic plan (Bridging the Gap) for managing the HRA finances through to 2019-20.	Delivery of Bridging the Gap activity is on-going, though the risk remains as to whether there may be further pressures on the HRA from future government policy decisions.	
4.2 HRA Business Plan in place	Assistant Director (Housing) Assistant Director (Corporate Services)	The HRA 30 year Business Plan is regularly reviewed and updated to ensure the Council has a sound and realistic plan for managing the financial position of the HRA moving forward.	The HRA Business Plan provides a financial representation of the delivery of the MTFS and can only be based on information available from government around social housing policy and assumptions on budgetary pressures from inflation, pay increases and investment returns; unknown pressures and further volatility will impact on the sustainability of the HRA.	
4.3 Establishment of Officer Working Groups to take forward key work streams	Assistant Director (Housing) Assistant Director (Corporate Services)	Where appropriate, officer groups will be convened to take forward activity to bridge the gap resulting from government legislating on rent reductions.	Activity has been delivered to restructure the HRA loans portfolio, increase the level of savings from staffing vacancies, introduce market rents for newly built properties, review the council's sheltered housing service and realise efficiencies in the responsive repairs & maintenance service. In the coming year, focus will be on managing the impact of Universal Credit on dwelling rent, financial profiling of the stock maintenance programme and continuing budget management activity.	

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<p>Risk 5: Business Rates Retention (existing)</p>	<p>Owner: Director (Corporate Services)</p>																				
<p>Risk Background As part of government's plans to make local government self-sufficient, a commitment has been made to allow the local government sector to retain a greater proportion of the business rates that are generated nationally. Critically, this does not mean that each authority will retain the full yield of Business Rates generated within their area, with a national redistributive system of Business Rates income continuing as is currently the case. There is little clarity on the design of the scheme and as recently as December 2017, the timescales for the scheme has been delayed by one year to 2020-21 and the proportion of business rates to be retained has been adjusted from 100% to 75%. There is also little information on any potential additional responsibilities that may be devolved to local government in and scheme, and this raises the concern that levels of funding received may not cover those additional responsibilities. Furthermore, there have been a number of statutory discounts introduced in recent years for Business Rates payers which has reduced the size of the overall national pot of Business Rates income, and this coupled with a sustained transfer of funding away from district Councils to upper tier authorities with Social Care responsibilities and the threat of periodical business rates resets could see Gravesham receiving a lower share of retained Business Rates income under any new system. Business Rates is the second largest funding stream for the council, after Council Tax, and will be equivalent to around 26% of the council's net revenue budget in future years.</p>	<p>Consequences:</p> <ul style="list-style-type: none"> Lack of clarity on how the 100% business rates retention scheme will operate in practice. Potential for government to reduce the total funding available through business rates to support other departmental funding pressures (social care). Council exposed to increased financial risk and volatility from the redesigned scheme. Likely to lead to additional responsibilities, with no additional funding. Potential for the introduction of further statutory discounts for Business Rates payers without compensation from central government 																				
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Controls to eliminate, reduce or transfer risk	Lead Officer(s)	Control Narrative	Control Update	Assessment of residual risk
5.1 Monitoring of the potential impact of 75% Business Rates Retention on the council.	Director (Corporate Services)	Ensuring that the council has arrangements in place to receive ongoing and up to date information about the development of the Scheme.	Information is obtained via professional groups and attendance at local government finance events at which representatives of the Department for Communities & Local Government are present. Kent & Medway will be a 100% Business Rates Pilot in 2018-19 and the mechanisms put in place as part of the Pilot will help inform the final scheme design. This will also enable the council to review its financial projections in light of the Pilot, albeit the final scheme design will be ultimately be determined by Government.	
5.2 Make proactive arrangements to respond to consultations from central government departments and agencies.	Director (Corporate Services)	Where it is considered the council has the opportunity to help shape government policy, consultations are responded to formally by the council.	The council has taken opportunities to influence government policy, with some examples of where policy has been reshaped following on from consultation exercises, albeit the government will continue with its overarching legislative programme.	

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<p>Risk 6: Implementation of the Homelessness Reduction Act (new)</p>	<p>Owner: Assistant Director (Housing)</p>																				
<p>Risk Background: The Homelessness Reduction Bill received Royal Assent on 27th April 2017 and will be enacted on 1 April 2018. The Homelessness Reduction Act (HR Act) amends Part 7 of the Housing Act 1996 and contains 13 clauses that amend many of the existing homelessness duties and bring in a substantial number of new duties. The Council's Housing Options Service will need to get to grips with the new duties in a relatively short time frame in order to comply with the legislation. The Act also places additional burdens on the council and whilst some financial assistance has been made available by the Government to assist in meeting the new duties, it is currently unknown whether this will be sufficient to meet the new burden. The limited supply of dwellings to assist in meeting the new duties is also an area of concern.</p> <p>Failure to take action early to prepare for these extensive new duties will put the authority at risk. There will be a risk of legal challenge if the authority is unable to meet the new legal duties arising from the Homelessness Reduction Act. There will be a financial risk to the Council due to an increase in temporary accommodation costs if there are insufficient resources to manage the increase in demand for the service. Funding from the Government provided to tackle homelessness is for an initial period of 3 years to ensure that the new legislation can be successfully implemented and there are no guarantees of similar levels of funding beyond March 2021</p>	<p>Consequences:</p> <ul style="list-style-type: none"> New legislative requirements not met. Budgets depleted in attempts to fulfil the additional requirements. Council exposed to increased financial risk and volatility from the new requirements. Reputational damage Adverse impact on staff morale and retention due significant changes to the assessment process and the focus of casework. Large increase in applications resulting in delays in assessments 																				
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Likelihood	5	Impact	4	Score	20	Likelihood	5	Impact	3	Score	15										

Controls to eliminate, reduce or transfer risk	Lead Officer(s)	Control Narrative	Control Update	Assessment of residual risk
6.1 Acquire an understanding of level of additional duties	Assistant Director (Housing)	Estimation of additional duties undertaken and robust assumptions made to ensure sufficient funding in place to successfully implement the Homelessness Reduction Act new duties	Management indicator reports will be used to monitor performance as has always been the case. Performance indicator reports also get presented to Management Team and Cabinet Committee on a quarterly cycle. However it is currently not possible to accurately anticipate the change in the volume or nature of applications.	
6.2 Review Team Structure required to deliver additional duties	Assistant Director (Housing)	The structure of the Housing Needs Team has been reviewed and will be kept under review to ensure that there are sufficient staffing resources to implement the new legislation	The agreed structure is subject to a review after 12 months to assess adequacy.	
6.3 Awareness / understanding of additional team workload	Assistant Director (Housing)	An estimate for the number of additional homelessness applications in Gravesham that are likely to result from the Homelessness Reduction Act.	Workload in terms of footfall and service requests is monitored monthly as part of the management indicator reports. However it is currently not possible to accurately anticipate the change in the volume or nature of applications.	
6.4 Availability of appropriate software to implement HRAct	Assistant Director (Housing)	Ongoing work with other Kent Districts to commission a bespoke casework management software with fully integrated letter/report writing facilities and a dedicated casework portal for the uploading of documents, which will reduce the administrative burden associated with the new duties under HRAct	Software procured and will be available from 1 March 2018. Training programme for staff is in the process of being devised and software will enable the additional administrative duties to be automated as far as possible. Alongside the available online training which the new software provides, a trainer will also be appointed to provide bespoke training to staff in districts as required.	

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6.5 Ensuring sustainability of the service following cessation of New Burdens funding.	Assistant Director (Housing)	After 2019-20, the service would need to be restructured to reflect the cessation of the new burdens funding and current service demands so that new costs, compared to the current structure, would be fully covered by the Flexible Homelessness Support Grant at no additional cost to the Council (assuming this funding stream is continued).	Service resource requirement to be kept under regular review and management team updated as early as possible of trend.	

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<p>Risk 7: Universal Credit (UC) (new)</p> <p>Risk Background: The government remains committed to a phased implementation of Universal Credit and on 23 November the Chancellor of Exchequer, as part of the 2017 Autumn Budget, outlined some changes to the timetable and scheme. Gravesham adopted Universal Credit 'Live' service in its most basic form on the 18 May 2015 for single residents only in prescribed circumstances. The impact so far has been minimal and did not produce a risk score above the strategic risk tolerance threshold and has, therefore, been managed as a service level risk.</p> <p>The Department for Work and Pensions (DWP) has overall responsibility for implementing Universal Credit, although the Council will have a key role in how the scheme will be expanded further within the Borough. The rollout of the 'Full' service has been delayed by 3 months and will now commence in May 2018 for Gravesham. To allow all the policy changes to be implemented, the Universal Credit live service will be closing to new claims from 31 December 2017. This means that unless claimants are living in a Universal Credit full service area, new claimants will be asked to claim legacy benefits or tax credits between January and May 2018. Those already on the Universal Credit live service will remain unaffected until they transition to Universal Credit full service once it has been rolled out in their area. Full migration to Universal Credit service will not be completed until 2022/23.</p>	<p>Owner: Service Manager (Revenues & Benefits)</p> <p>Consequences: There remains much uncertainty as to the exact direct and indirect consequences of the changes upon the authority, particularly whether resources to support the scheme will still be required to be retained by the council (and at what level) once administration of Universal Credit is taken over by the Department for Work and Pensions in its entirety. Initial information from LA's currently in Full service suggest that the workload may actually increase as a result of the number of notifications that the DWP JCP send through on a daily/weekly basis.</p> <p>Direct consequences are;</p> <ul style="list-style-type: none"> • A reduction in HB caseload • Potential reduction in council dwelling rental income and increase in rent arrears as payments will be made direct to the tenant, rather than direct to the rent account as they are now • Increase in workload for Housing Team • Increases in evictions/homelessness/voids • Rise in level of corporate debt • Customers may suffer hardship <p>Indirect consequences are also expected, with increased costs of cash handling through the shift away from rebating benefit to cash transactions</p>																				
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="4">INHERENT RISK SCORE</th> <th colspan="4">RESIDUAL RISK SCORE</th> </tr> <tr> <td>Likelihood</td> <td>5</td> <td>Impact</td> <td>3</td> <td>Score</td> <td>15</td> <td>Likelihood</td> <td>4</td> <td>Impact</td> <td>3</td> <td>Score</td> <td>12</td> </tr> </table>	INHERENT RISK SCORE				RESIDUAL RISK SCORE				Likelihood	5	Impact	3	Score	15	Likelihood	4	Impact	3	Score	12	
INHERENT RISK SCORE				RESIDUAL RISK SCORE																	
Likelihood	5	Impact	3	Score	15	Likelihood	4	Impact	3	Score	12										

Controls to eliminate, reduce or transfer risk	Lead Officer(s)	Control Narrative	Control Update	Assessment of residual risk
7.1 Maintain regular communication and good working relationships with JCP Senior Officers	Mike Bytheway Service Manager (Revenues and Benefits)	Regular contact to be maintained with the JCP Universal Credit Partnership Manager to update on key issues and plan for 'Full' service go live in May 2018.	The Service Manager Revenues & Benefits and the Assistant Revenues & Benefits Manager are liaising and attending meetings with the JCP.	
7.2 Provide assistance to customers in initially claiming Universal Credit and managing their finances.	Mike Bytheway Service Manager (Revenues and Benefits) Wale Adetoro Assistant Director (Housing)	Liaison with the CAB to provide this service. Liaison with council tenants to advise them of the changes and offer assistance in managing their rent payments.	Contact has been made with the CAB who are now attending regular meetings. They are also prepared to provide Personal Budgeting Support and Assisted Digital Support with the help of funding from the JCP. Programme of communication being developed with council tenants.	

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7.3 Monitor the impact of UC on Housing Rent collection rate	Wale Adetoro Assistant Director (Housing)	Rent collection levels are collated monthly and presented to MT.	Corporate monitoring will continue. This provides awareness of any change in rent collection levels. Housing are aware of all current tenants in receipt of UC and have closely monitored their Rent Accounts. They have also arranged payments direct where appropriate and at this moment in time there is no impact on rent arrears. These actions will continue.	
7.4 Communicate the impact of UC to the Social and Private landlords	Mike Bytheway Service Manager (Revenues and Benefits)	Seminars and presentations on the impact of UC will be organised.	Presentations by JCP and hosted at GBC have already happened with Social and Private Landlords.	
7.5 Maintain briefing arrangements for Members and staff and provide regular updates of any changes	Mike Bytheway Service Manager (Revenues and Benefits)	Training sessions for Members and staff will be arranged.	Member briefing is arranged for 16 January 2018 where the DWP will give a presentation on UC	
7.6 Contact residents about the impacts of UC.	Mike Bytheway Service Manager (Revenues and Benefits)	Residents will be provided with updates on the roll-out of UC.	We will liaise with the DWP, CAB, Housing and Customer Services to ensure that residents are kept informed of how the introduction of UC Full Service will affect them.	

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<p>Risk 8: General Data Protection Regulations (new)</p>	<p>Owner: Director (Corporate Services) & Senior Information Risk Officer</p>																				
<p>Risk Background: The General Data Protection Regulations (GDPR) come into force on 25 May 2018 and will be the legal framework for data protection across Europe. The decision of the UK to leave the European Union will not affect the introduction or implementation of GDPR in the UK.</p> <p>The regulations will introduce significant changes to the responsibilities of organisations that collect, store and share personally identifiable information. GDPR introduces corporate responsibilities which will require the council to introduce new processes and achieve some things differently. The council will need to demonstrate compliance with all elements of the GDPR which will require a review of current arrangements and how they comply with GDPR.</p>	<p>Consequences:</p> <ul style="list-style-type: none"> • Risk of administrative fine from the Information Commissioners Office (ICO) if evidence of non-compliance found • Risk of remediation/compensation requirements to the data subject • Reputational Damage • Costs of ensuring compliance not budgeted for • Increased scrutiny from Members and other relevant bodies. 																				
<table style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="4" style="text-align: center;">INHERENT RISK SCORE</td> <td colspan="4" style="text-align: center;">RESIDUAL RISK SCORE</td> </tr> <tr> <td style="text-align: center;">Likelihood</td> <td style="text-align: center;">5</td> <td style="text-align: center;">Impact</td> <td style="text-align: center;">3</td> <td style="text-align: center;">Score</td> <td style="text-align: center; background-color: red;">15</td> <td style="text-align: center;">Likelihood</td> <td style="text-align: center;">5</td> <td style="text-align: center;">Impact</td> <td style="text-align: center;">2</td> <td style="text-align: center;">Score</td> <td style="text-align: center; background-color: red;">10</td> </tr> </table>	INHERENT RISK SCORE				RESIDUAL RISK SCORE				Likelihood	5	Impact	3	Score	15	Likelihood	5	Impact	2	Score	10	
INHERENT RISK SCORE				RESIDUAL RISK SCORE																	
Likelihood	5	Impact	3	Score	15	Likelihood	5	Impact	2	Score	10										

Controls to eliminate, reduce or transfer risk	Lead Officer(s)	Control Narrative	Control Update	Assessment of residual risk
8.1 Commitment to raising awareness and delivering training	Information Governance Group (IGG)	Decision makers and key officers in the Council should be made aware that the law is changing to the GDPR. They need to appreciate the impact this is likely to have. All staff that has access to personal data needs to receive training.	Management Team will continue to be updated regularly with progress on the Council's preparations for GDPR Training is being delivered via Medway in quarter 4, 2017/18	
8.2 Robust arrangements with regards to management of Information held	IGG	Document what personal data the Council holds, where it came from and who it is shared with. Develop records retention policy & schedule. Develop information asset register, conducting an information audit. Conduct a data cleanses to implement retention schedule. Implement regular process for data cleansing to ensure retention schedule is embedded.	Relevant Policies to be developed to ensure the authority complies with data regulations with regards to: Recording Maintaining Storing Handling Communication Sharing Dealing with data breaches	

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8.3 Data Protection by Design and Data Protection Impact Assessments (DPIA)	IGG	Implement DPIAs, firstly in service areas processing high risk personal data then across all areas processing personal data.	Develop a pool of Data Protection Impact Officers who are appointed and fully trained to undertake Data Protection Impact Assessments for the Council.	
8.4 International considerations	Data Protection Officer	The council does not operate outside of the UK.	This will need to be monitored if future consideration is to be given to processing data outside of the UK, i.e. using cloud service providers Article 29 Working Party guidelines will assist with this.	

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Risk 9: Cyber Risk (new)					Owner: Service Manager (IT)						
Risk Background: <p>A Cyber Attack is an electronic assault on an organisations IT Infrastructure or internet presence, with the goal of either disrupting the course of normal business, subverting the use of Council websites, using Council services as a platform for attack on others, theft of information from the website/connected networks, or corrupting information and holding recovery of that data to ransom.</p> <p>If observed the controls already implemented by the authority will reduce the risk of attack via currently known methods. New methods of attack are constantly under development so it is not possible to eliminate this risk totally through controls.</p>					Consequences: <ul style="list-style-type: none"> IT systems may be unavailable for officers to use, preventing the Council from operating its business normally Council online services could be unavailable for the public Controversial political statements may be made on Council websites Customer data may be stolen or corrupted and held for ransom Fraud may be committed by the attackers using Council owned information or equipment Council systems may be used to "attack" other organisations, or may be used to steal confidential information from other connected networks 						
INHERENT RISK SCORE					RESIDUAL RISK SCORE						
Likelihood	2	Impact	4	Score	8	Likelihood	2	Impact	4	Score	8

Controls to eliminate, reduce or transfer risk	Lead Officer(s)	Control Narrative	Control Update	Assessment of residual risk
9.1 Technical security controls	Service Manager (IT)	Protective hardware and software, such as anti-virus, firewalls, web and email filtering. The Council maintains and applies information security knowledge and operational intelligence by; <ul style="list-style-type: none"> Acting as lead member of the Kent Warning, Advice and Reporting Point Membership of the National Cyber Security Information Sharing Partnership Participating in the LGA PSN Programme Board. 	Controls in place and regularly updated.	
9.2 Security policies	Service Manager (IT)	Full suite of information security policies and procedures, such as the overall Information Security Policy, Patch Management Procedure, Remote Working Policy. Policies are in line with ISO27001 and form part of the compliance process with PSN Code of Connection and PCI-DSS	Policies and procedures regularly reviewed	

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Controls to eliminate, reduce or transfer risk	Lead Officer(s)	Control Narrative	Control Update	Assessment of residual risk
9.3 IT health checks and penetration tests	Service Manager (IT)	Regular Independent review and audit of technical controls and policies. Audit covers effectiveness of internal protective measures such as patching policy, end user controls and firewall rules. Remote access facilities and internet facing servers (self service facilities) are also reviewed.	Health checks and penetration tests are regularly performed	

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<p>Risk 10: UK Leaving the European Union (new)</p>	<p>Risk Owner: Management Team</p>																						
<p>Risk Background: In June 2016, the UK voted to leave the European Union. This has led to a heightened level of uncertainty around the economic future of the country. Article 50 of the Lisbon Treaty was invoked on 29th March 2017 which marked the start of the two year period in which the terms of the exit from the EU will be set. The UK and EU have agreed on the three "separation" issues of how payments by the UK to the EU, arrangements for the Northern Ireland border and the rights of UK citizens living elsewhere in the EU and EU citizens living in the UK. There still remains uncertainty, however, on the future trade relationship between the UK and the EU and how the final terms will impact on local government.</p>	<p>Consequences:</p> <ul style="list-style-type: none"> Lack of clarity on how EU withdrawal may impact on government spending plans Potential to cause instability in interest rates, further affecting investment returns and pension fund liabilities Potential to cause a downgrading in UK sovereign rating and UK institutional ratings, limiting options for investment decisions Potential longer term impacts on staffing and future recruitment and legal and regulatory framework of the country 																						
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INHERENT RISK SCORE					RESIDUAL RISK SCORE																		
Likelihood	3	Impact	?	Score	?	Likelihood	3	Impact	?	Score	?												

Controls to eliminate, reduce or transfer risk	Lead Officer(s)	Control Narrative	Control Update	Assessment of residual risk
<i>It is not considered possible to assess the impact of any risks associated with the UK leaving the European Union as there is little information available as to the terms of the exit.</i>				

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<p>Risk 11: Employee Relations/Issues (new)</p> <p>Risk Background: It is essential for good employee relations to exist in the workplace in order to help the organisation run effectively and successfully. Management Team has implemented special arrangements affecting how staff are employed / redeployed by the authority in order to deal with a reduction in Government funding. If these arrangements are not managed effectively, any decisions being made about the workforce could have a negative impact on employee relations. The council has policies and procedures in place which relate to staff employment matters and are written taking into account relevant employment legislation. The council recognises the importance of maintaining close working relationships with union representatives and</p>	<p>Risk Owner: Management Team</p> <p>Consequences: Poor employee relations may lead to</p> <ul style="list-style-type: none"> • poor communication with staff and their representatives • increased conflict between employees, their representatives and management • poor employee relations may have an adverse impact on organizational change • low morale and demotivation which may adversely impact quality and provision of services 																						
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INHERENT RISK SCORE					RESIDUAL RISK SCORE																		
Likelihood	1	Impact	2	Score	2	Likelihood	1	Impact	2	Score	2												

Controls to eliminate, reduce or transfer risk	Lead Officer(s)	Control Narrative	Control Update	Assessment of residual risk
11.1 Continuation of frank and open working relationship with local and regional union representatives	Director, Communities HR Manager	The council encourages staff to be actively involved with the Union. In order to support and facilitate Union representatives with their employee relation business an agreement exists, detailing the arrangements and facilities that the council has put in place for Trade Union Reps. Locally union representatives in particular UNISON undertake variety of roles working with management. One of the key roles of UNISON is to represent their members when issues arise concerning disciplinary and grievance.	The Control set out in the previous column remains in place and is considered to be effective.	
11.2 Joint Staff Forum meetings and distribution of associated minutes to all staff.	Director Communities HR Manager	Following a review of the previous Joint Staff Committee which consisted of Management meeting with UNISON representatives the new Joint Staff Forum meets on a bi monthly basis. The forum is representative of the departments throughout the council and there are equal numbers of union and staff representatives. Mechanisms are in place to ensure all staff have the opportunity to raise issues and that notes of the meeting are communicated. JSF Members are able to shape the Agenda by consulting with their colleagues prior to the meetings in order to raise issues for discussion and feedback is then provided through the Officers receive updates on all matters affecting the authority direct from senior officers including CEO and Directors	The Control set out in the previous column remains in place and is considered to be effective.	

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11.3 Maintaining up to date policies and procedures relating to employment matters which are accessible to all staff.	Director Communities HR Manager	The council's policies and procedures that relate to employment matters are published on the staff intranet and clearly outline the roles and responsibilities of employees, managers HR and Trade Union representative/work place colleagues. They are designed to help and encourage employees to achieve and maintain a standard of conduct and aim to ensure fairness, equity and consistency when dealing employee matters.	The Control set out in the previous column remains in place and is considered to be effective.	
11.4 Communication Strategy regarding employee relations	Director Communities Communication Manager	The council has a clear open strategy for communicating with staff. E.g. AHOY magazine, improved intranet, everyone e-mails where appropriate, annual staff talks. AHOY awards have recognised and communicated employee excellence across the authority.	The Control set out in the previous column remains in place and is considered to be effective.	