

Gravesham Borough Council
Mid-Year Review of Corporate Risks
(Review of ALL risks detailed in the 2019-20 Corporate Risk Register)

Gravesham Borough Councils Corporate Risk Register Outlines the key strategic Risks facing the council and controls that are implemented to manage these risks. It also details any further action required by the council to ensure risks are being sufficiently controlled.

The Risks that were identified and formally approved by Full Council on the 16th April 2019 are listed below. These risks have been documented in the 2019-20 - Corporate Risk Register:

Risk 1: Ongoing financial viability of the Council

Risk 2: Changes in national priorities and legislative change

Risk 3: Organisational capacity/ resilience

Risk 4: Implementation of the Homelessness Reduction Act

Risk 5: Universal Credit

Risk 6: Withdrawal of the United Kingdom from the European Union

Risk 7: Cyberattack resulting in data breach or corruption of data.

This document provides mid-year progress information in respect of the management of each of the above risks. The effectiveness of risk management actions that have been carried out as at mid-year, are assessed as being one of the following:

Good

Actions in place will mitigate the risk and no further action is required.

Satisfactory

Whilst the action will help to mitigate the risk, there is still further work that can be undertaken to further mitigate the risk.

Inadequate

The action is either not already in place or is not mitigating the risk and therefore further work is required.

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<p>Risk: 1. On-going financial viability of the Council</p>	<p>Owners: Director (Corporate Services); Assistant Director (Corporate Services)</p>
<p>Risk Background: Funding pressures on local government continue to put unprecedented strain on the financial sustainability of local authorities. 2019-20 will be the final year of the multi-year local government finance settlement and the council has experienced a cash reduction in government funding levels of some £5m (65%) since 2010-11 (excluding New Homes Bonus Scheme).</p> <p>When drafted, the council's Medium-Term Financial Strategy 2016-17 to 2019-20 identified a funding gap by 2019-20 of £2.5m. This identified gap has increased since 2016 due to changes in the design of the New Homes Bonus Scheme and the council not meeting the 'deadweight' level required to secure funding under the scheme every year, slower than predicted increases in the Bank of England base rate and employee pay awards being greater than budgeted. The council has taken great strides in proactively managing its financial position through its Bridging the Gap activity and a further £1.3m of activity was agreed by Cabinet in November 2018 to meet the additional pressures that have become apparent since 2016. In setting the budget for 2019-20 the council will be realising base budget reductions of some £3.5m derived from this activity within its Medium Term Financial Plan (MTFP).</p> <p>There is little information currently available regarding the level of government funding the council might anticipate receiving after 2019-20. The 2019 Spending Review is expected in Spring 2019 and will set the envelope of spending for the Ministry of Housing, Communities and Local Government (MHCLG). The Fair Funding Review, to be implemented in 2020-21, will set new finding baselines for individual local authorities based on their assessed relative needs and the assessed relative resources the authority can access. There is an expectation that the Resource Departmental Expenditure Limit for the MHCLG will be squeezed and the Fair Funding review (the design of which is expected to be known in Autumn 2019) will see a greater concentration of resources directed to authorities with Upper Tier responsibilities; both of these events will put further pressure on the council's financial sustainability. Linked to this, the future design of the Business Rates Retention Scheme is still unclear. Business Rates is the second largest funding stream for the council, after Council Tax, and will be equivalent to around 25% of the council's net revenue budget in future years.</p>	<p>Consequences:</p> <ul style="list-style-type: none"> • Inability to plan effectively due to the lack of clarity around the future level of government funding support and how the business rates retention scheme will operate in practice. • Potential for MHCLG to reduce the total funding available to the council (including retained business rates) beyond the levels projected in the MTFP to support other departmental funding pressures. • Council exposed to increased financial risk and volatility from changes to funding and any redesigned business rates scheme. • Unplanned cuts in services needed and/or drop in quality of delivery, potentially leading to damage to Council's reputation. • 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. • New legislative requirements not met. • Uncertainty over future large projects. • Potential for infrastructure to deteriorate. • Potential for the introduction of further statutory discounts for Business Rates payers without compensation from central government.

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)	Required Management Action as originally documented in the 2019-20 Corporate Risk Register	Management Action Update as at Mid-Year Review	Risk Assessment			
				Q1	Q2	Q3	Q4
1.1 Medium Term Financial Strategy in place	Director (Corporate Services) Assistant Director (Corporate Services)	General Revenue Reserve increased from £2 million to £4 million to mitigate financial risks. Reassessment of Commercial Income Protection Reserve to a level equivalent to 15% of rental income. Continued delivery of Bridging the Gap activity and additional £1.3m of activity approved by Cabinet in November 2018.	<ul style="list-style-type: none"> • General Fund Revenue Reserve remains at £4m to help mitigate financial risks. • Commercial Income Protection Reserve set at a level equivalent to 15% of rental income as recorded in the Medium Term Financial Plan. • Delivery of Bridging the Gap activity continues, with an update on progress due to be presented to Cabinet in November 2019. 				

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	Director (Corporate Services) Assistant Director (Corporate Services)	Development of a new Medium Term Financial Strategy for the council once the outcomes of the Fair Funding Review and Retained Business Rates Scheme design are known	On the basis of the announcements of the Chancellor of Exchequer in September 2019.a one-year Medium Term Financial Strategy Statement will be prepared, with a full Strategy drafted for the period after 2021/22 once the outcomes of the Spending Review 2020, Fair Funding Review and Retained Business Rates Scheme design are known.				
1.2 Medium Term Financial Plan in place	Assistant Director (Corporate Services)	There is continued maintenance of the Medium Term Financial Plan. Modelling of the effects of the Fair Funding review and Retained Business Rates Retention Scheme once known.	The MTFP continues to be maintained and presented to Management Team and Members on a periodic basis as part of the council's budget monitoring arrangements. At the present time, the MTFP indicates 2025-26 as the point at which further savings must be delivered.				
1.3 Budget Monitoring Process	Assistant Director (Corporate Services)	There is continuation of: •The programme of development for the council's Financial Management System. •Compliance with budget monitoring arrangements. •The approach to responding to central government consultations on funding for local government	Budget monitoring arrangements continue to be in place and operating effectively. Development of the Financial Management System progresses, with all users now migrated to the web-based version of the system which provides budget holders with improved functionality. The budget setting exercise for 2020-21 commenced in September and will focus on high risk areas within the council's budget.				

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Risk 2.: Changes in national priorities and legislative change	Owner: Chief Executive & Management Team																						
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: <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. 	Consequences: <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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2.1 Circulation of monthly policy & legislative briefings	Corporate Performance Manager	Continued circulation of monthly policy & legislative briefings	<p>Regular policy and legislative briefings were delivered throughout the 6-month period to ensure officers are fully informed of government initiatives or potential changes affecting service areas and the wider council. From this activity relevant Service Managers report to Management Team on government proposals impacting upon their areas and the potential impact on the council's progress towards achieving its corporate objectives.</p> <p>The Queen's Speech 2017 introduced the government's formal programme of prospective legislation for 2017-19. Arguably the most notable piece of legislation for local government enacted during the period was the Homelessness Reduction Act, of which relevant provisions commenced in April 2018.</p> <p>'Brexit' has had a significant impact on the parliamentary timetable, with the volume of wider legislation relating to local government much reduced in the two years to date.</p> <p>The Queen's Speech took place on 14 October and tools to monitor the government's legislative programme will be used to provide insight on any impact on local government.</p>				

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2.2 Proactive arrangements to respond to consultations from central government departments and agencies.	Wider Management Team	Make proactive arrangements to respond to consultations from central government departments and agencies.	<p>During the year to date, the council has continued to effectively represent its position in the process of central government consultations. This is carried out individually on behalf of the council, or collaboratively with other neighbouring district authorities, or as part of a wider network group (Local Government Association, District Councils' Network (DCN) etc.). Adopting this approach ensures that the views of the council are communicated back to government so that they may be taken into account as policy decisions are formulated ahead of any new legislative programme.</p> <p>In the last six months the council's efforts have included formal responses to the following consultations:</p> <ul style="list-style-type: none"> • Proposals for reform of the building safety regulatory system; • Consistency of Household and Business Recycling Collections • Introducing a Deposit Return Scheme 				
2.3 Establishment of a new Member training and development plan for the next three years.	Committee Services Manager/Wider Management Team	Develop a Member Induction Programme to support all Members elected to the Council in the May 2019 Local Elections. Continue to deliver a training and development plan to Members.	<p>The Member induction training programme was delivered to all Members of the Council (newly elected and returning Councillors) following the Local Elections in May 2019. This was an intensive programme during the first few months of the new Council term (May - July) designed to:-</p> <ul style="list-style-type: none"> • highlight key Council information such as corporate policies and priorities; • allow Members to acquire the essential skills required for certain roles/Committees; and • assist in preparing Members, especially newly elected, for their decision-making roles and responsibilities. <p>A 'training needs analysis questionnaire' will soon be distributed to all Members allowing them to highlight any further training needs that they have identified. All Members' responses will be analysed and incorporated into the Council's ongoing Member Training and Development Plan. This will commence from May 2020 to allow time for newly elected Members to familiarise and settle themselves into their elected Member role. Ad-hoc training sessions will be arranged, during that time, if the need arises; by way of example, a Communications and Social Media Briefing has been arranged for December 2019.</p>				

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2.4 Maintenance of interaction with partner agencies	Wider Management Team	Maintenance of interaction with partner agencies	<p>The council has a long history of effective partnership working arrangements for a variety of projects, boards and operational commitments that enable the authority respond to, and deliver against, legislative demands.</p> <p>The council's Corporate Partnership Register details the various working arrangements in place with key stakeholders, ranging from fully-shared services with another local authority to project working groups established for single issues. The individual partnership arrangements outlined within the register are evaluated on an annual basis by lead officers and this process commenced during September 2019. In the autumn, the partnership arrangements will then subsequently be presented for review by the respective Cabinet Committees in order to consider their formal governance arrangements and the financial value being delivered.</p>				

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Risk 3: Organisational capacity/ resilience	Owner: Chief Executive & Management Team																				
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 recent announcements on local government finance are going to require decisions to be taken about future service delivery, and these actions are likely to 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	Consequences: <ul style="list-style-type: none"> Council unprepared for changes resulting in pressure being placed on resources, this in turn could lead to the council struggling to meet changes in demand for services. Services areas with reduced staff will suffer a greater impact which in turn will add pressures on already stretched resources. Increased organisational stress can negatively impact productivity, which in turn can reduce staff motivation, create low morale and increase sickness and stress levels. The council will be required to provide additional help and support to overcome the problems that result from increased organisational stress. Increases in liability claims and weaknesses in internal controls could result due to there being insufficient staff resources to carry out essential roles and responsibilities. Cuts in services and a potential drop in service quality is also possible. 																				
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3.1 Effective allocation of resources	Management Team	Management Team to continue with consistently reviewing staff vacancies and restructuring opportunities to ensure that resources are allocated effectively in each area, this will be complemented by regular budgetary and performance management data which identifies areas of the council that are experiencing pressures	Management Team continue to receive all requests to fill vacant posts as a means of managing the staffing resources of the council and ensuring these are effectively allocated, taking into account financial and service performance information. Management Team also receive periodic information regarding staff resourcing costs v budget, which includes information on vacancies to enable discussion on this. As part of the budget setting process for 2020/21, Management Team recently evaluated vacant positions within the authority so that these can be considered for release, freeing up financial capacity for other areas of the Council's business. Reviews of the delivery of existing shared services continue, with Legal, HR, Payroll and Audit & Counter Fraud all assessed as continuing to work well, providing much needed resilience and offering more career opportunities for staff. Continue to develop and use technology where possible to free up resources that could be allocated to other tasks.				

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3.2 Flexible working arrangements	Management Team	Shared service opportunities will continue to be explored where there is a sound business case to do so.	<p>Shared Service arrangements continue to be explored. All shared services consider flexible working arrangements in order to provide resilience to all partners.</p> <p>The council has increased its use of mobile technology enabling officers to remote work away from the office, creating greater opportunities for flexible working.</p> <p>Applications for formal flexible working arrangements continue to be considered, taking into account impact on the business; flexible working can be more limited in smaller and customer-facing departments due to the need for cover in the office.</p> <p>Apprentice posts focus on ensuring at the end of the training contract they are 'job ready' and seeking to train apprentices in areas where the council may be having difficulties in recruitment.</p> <p>Consideration if vacant/new posts can be undertaken on a part time or job share basis.</p>				
3.3 Provision of training and support	Director (Communities)	Appraisals will continue to be carried out on an annual basis and training needs identified. Workforce development will maintain liaison with Service Managers and above to identify training programme for the year ahead which will be monitored by HR. All employees will be given access to a wide range of e-learning and the ability to book onto physical training courses.	<p>The council retains a budget for supporting staff training and development.</p> <p>Appraisals continue to be carried out on an annual basis to identify training needs and monthly one to one meetings to monitor.</p> <p>All employees are able to access a wide range of e-learning and face to face training opportunities via the HRA Shared Service iShare training system.</p>				

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3.4 Workforce Support	Director (Communities)	<p>Joint staff forum meetings are to continue and be held every 8 weeks with members of management team in attendance as well as trade union representatives.</p> <p>HR will maintain monthly catch up meetings with the Trade Unions in order to discuss concerns that may be raised by their members</p>	<p>The Joint Staff forum continues to meet on a bi-monthly basis to ...</p> <p>Investors in People and work programme</p> <p>Trade Union meetings</p> <p>Anything else</p>				

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<p>Risk 4: Implementation of Homelessness Reduction Act</p> <p>Risk Background: The Homelessness Reduction Bill received Royal Assent on 27th April 2017 and is now an Act. The date of enactment is 1 April 2018. The Homelessness Reduction Act (HR Act) amends Part 7 of the Housing Act 1996. There are 13 clauses that amend many of the previous homelessness duties and brought in a substantial number of new duties. The Council's Housing Options Service has got to grips with the new duties as required in order to comply with the legislation. The Act places additional burdens on the council and whilst some financial assistance was made available by the Government to assist in meeting the new duties, this has so far not been sufficient to meet the new burden, particularly in relation to the increased cost of temporary accommodation provision. The limited supply of dwellings to assist in meeting the new duties also continues to be an area of concern.</p> <p>There remains a risk of legal challenge if the authority is unable to meet the new legal duties arising from the Homelessness Reduction Act. There is also 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 still no guarantees of similar levels of funding beyond March.</p>	<p>Risk Owner: Director (Housing and Operations) Assistant Director (Housing Policy and Management)</p> <p>Consequences:</p> <ul style="list-style-type: none"> New legislative requirements not met. Budgets depleted in attempts to fulfil the additional requirements. Reputational damage Adverse impact on staff morale and retention due to the required significant changes to the assessment process and the focus of casework, including a doubling of homelessness applications. The service needs to be 'geared up' to manage a large increase in applications and the casework that will be required for each application under the HRAct changes
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2.1 Maintain an understanding of the levels of additional duties	Assistant Director (Housing)	Keep abreast of any amendments or changes in the additional duties	Regular interaction is maintained with advisers at the MHCLG to ensure awareness of any amendments or changes to the duties required of the council.				
2.2 Team Structure reviewed to deliver additional duties.	Assistant Director (Housing)	Regular review of Team Structure to ongoing ability to deliver the required duties and promote awareness / understanding of additional team workload.	Adequacy of current team structure is monitored and along with the Locata system which was introduced prior to the implementation of the Act, suggests that no change is required at present.				
2.3 Service to continue following cessation of New Burdens funding	Assistant Director (Housing)	Ensuring sustainability of the service following cessation of New Burdens funding	Investigations into alternative sourcing of Temporary Accommodation, is ongoing in order to reduce the level of expenditure incurred in providing Temporary Accommodation.				

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<p>Risk 5: Universal Credit</p>	<p>Risk Owner: Director (Corporate Services) Head of Revenues and Benefits</p>																						
<p>Risk Background: 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 was minimal and did not produce a risk score. Universal Credit live service was closed to new claims from 31 December 2017. Universal Credit 'Full' service commenced in May 2018 and is available for all types of claimant with the exception of a few categories. The Department for Work and Pensions (DWP) has overall responsibility for implementing Universal Credit, although the Council has a key role in providing Universal Support to residents who wish to claim. However Gravesham Citizens Advice provides the Assisted Digital Support and Personal Budgeting Support on our behalf. From 1 April 2019 the DWP will sub contract Citizens Advice to do the Assisted Digital Support and Personal Budgeting Support directly. Gravesham has its own housing and under the housing benefit scheme a weekly transaction was paid to the housing account without the tenant having to take responsibility and providing security of payment for the Council and security of tenancy for the customer. Under UC there is no certainty that Housing will receive the housing cost payment if the customer receives the payment direct</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 data shows that currently in Full service caseload has dropped and the number of new claims received is starting to reduce however the workload has actually increased as a result of the number of notifications that the DWP JCP send through on a daily/weekly basis. Direct consequences are;</p> <ul style="list-style-type: none"> • A reduction in HB caseload • A 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>																						
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5.1 Regular Meetings Planned to take place with JCP Senior Officers	Head of Revenues and Benefits Assistant Revenues and Benefits Manager	Continued liaison and meetings with the JCP by revenues and Benefits Officers, alongside officers from Housing, Customer Services and the Citizens Advice Bureau.	<p>Meetings were scheduled at the beginning of the year to take place monthly. These have been taking place as planned and are regularly attended by Housing Income Officers, Citizens Advice, JCP and Housing Benefits. We have recently included Housing Options in our attendees list. Any issues are highlighted and discussed by all organisations which is invaluable for successful networking and keeping up to date with latest changes.</p> <p>On a weekly basis we take part in a telekit for improving the customer experience. This is hosted by the DWP and involves staff from the Jobcentre, UC Service centre and Local Authorities.</p> <p>We are also carrying out a Job Shadowing exercise where JCP staff are spending time at the Civic Centre with HB staff, Housing Income and Housing Options staff. This will be reciprocated for Local Authority staff to attend the Jobcentre.</p>				
5.2 Customers given help with claiming Universal Credit and managing finance.	Head of Revenues and Benefits Assistant Revenues and Benefits Manager	Citizens Advice to provide Personal Budgeting Support and Assisted Digital Support with the help of funding from the JCP	Citizens Advice (CA) now provide a Help to Claim Service which is funded directly by the DWP. This support is given in the early stages of the Universal Credit claim, from application through to first payment. It is a dedicated service which is free to the claimant, independent, confidential and impartial. CA do attend our meetings and regularly keep us informed of any issues they may encounter. As well as providing a service out of the Civic Centre they do also have a presence in the Jobcentre where appointments are scheduled.				
5.3 Monitoring the impact of Universal Credit upon the Housing Collection rate	Assistant Director (Housing)	Housing officers have access to the Landlord Portal, are aware of all tenants in receipt of UC and continue to closely monitor Rent Accounts. Opportunities to make arrangements for direct payment where appropriate will be sought.	Housing Income Officers are leading on UC cases and investment has been made in a software solution to better focus the limited resources in the team. The number of Alternative Payment Arrangements (Direct Payments) is increasing monthly. A new suite of letters has been created to make contact with tenants when Housing are aware that a tenant has claimed UC. Rent arrears are reported monthly.				

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5.4 Contact with residents as well as social and private landlords to establish impact on Universal Credit	Head of Revenues and Benefits	Liaison will continue with the DWP, CAB, Housing, Private /Social landlords, council tenants and Customer Services to ensure that residents can be kept informed of how the introduction of UC Full Service will affect them.	Regular liaison continues with the DWP, CA and Housing. We have updated our correspondence that is issued to claimants where necessary to advise on claiming Universal Credit. We do have ad-hoc contact with landlords and organisations whereby any advice is given. Equally we sign post to the Jobcentre and GOVUK as and when appropriate.				
5.5 Maintain briefing arrangements for members and staff and provide regular updates of any changes	Head of Revenues and Benefits	Briefing arrangements will be maintained to keep Members and staff regularly updated of any changes that occur.	Briefings for staff take place on a regular basis through Team Meetings and Staff bulletins. Members are kept up to date via briefings at P&A. Also Universal Credit was included in the recent Member training that was rolled out.				

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<p>Risk 6: Withdrawal of the United Kingdom from the European Union</p>	<p>Risk Owner: Management Team</p>
<p>Risk Background: In June 2016, the United Kingdom (UK) voted to leave the European Union (EU). The UK is scheduled to leave the EU at 11pm local time on 29 March 2019. A withdrawal agreement and political declaration on future ties with the bloc were announced by the Prime Minister in November, though there has been little public support for this and the House of Commons vote on the exit agreement was lost on 15 January 2019. This has led to a heightened level of political and economic uncertainty around the future of the country as well as uncertainty as to whether Brexit will actually take place on 29 March 2019. In a 'No Deal' situation, the UK would revert to World Trade Organisation rules after 29 March 2019.</p>	<p>Consequences:</p> <ul style="list-style-type: none"> • Lack of clarity on when the EU withdrawal may take place or impact on government spending plans. • Difficulty in delivering services due to disruption to the road network as a consequence of increased border and customs checks on port freight traffic. Disruption in particular to waste collection and disposal and to staff ability to reach their usual place of work. • Potential for council income from services to reduce due to service disruption or changes to customer behavior (car parking). • Potential longer term impacts on staffing and future recruitment and legal and regulatory framework of the country. • Potential impacts on the council's supply chain and the procurement of supplies and services (through actual supply and inflation-linked contracts). • Potential to cause instability in interest rates, affecting investment decisions, returns from current investments and pension fund liabilities. Potential to cause a downgrading in UK sovereign rating and UK institutional ratings, limiting options for investment decisions. Impact may also be felt on existing commercial property rental income returns and capital values. • Potential impacts on funding for longer term regeneration and infrastructure development plans. • Increased risk of intentional attempts to disrupt council services around 29 March 2019 through cyber and other means. • Social Unrest and increase in public disorder.

INHERENT RISK SCORE					RESIDUAL RISK SCORE						
Likelihood	5	Impact	4	Score	20	Likelihood	5	Impact	3	Score	15

Controls to eliminate, reduce or transfer risk	Lead Officer(s)	Required Management Action as originally documented in the 2019-20 Corporate Risk Register	Management Action Update as at Mid-Year Review	Risk Assessment			
				Q1	Q2	Q3	Q4
6.1 County-wide contingency planning	Chief Executive (as part of the KRF Executive Board)	Proactive engagement with County-wide contingency planning arrangements	The council is a key partner of the Kent Resilience Forum (KRF), which co-ordinates the Kent-wide Brexit contingency planning arrangements. The council is in regular contact with sub groups of the KRF and associated tactical and strategic planning meetings and has taken part in desktop exercises linked to Operation Fennel – the county's response to anticipated traffic disruption at ports and associated road network.				
6.2 Review of Business Continuity Plans	Wider Management Team	Business Continuity Plans to be reviewed and updated to ensure they remain fit for purpose	The council has recently adopted a new Business Continuity Management System that consists of an overarching Framework document, a corporate Business Continuity Plan (made up of a series of individual Directorate BC plans) and a series of Predetermined Decisions/Activation Cards.				

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				Q1	Q2	Q3	Q4
6.3 Review of IT infrastructure, working patterns, staffing levels and cross authority working arrangements	Wider Management Team	<p>IT Infrastructure to support remote working where possible.</p> <p>Consideration of alternative working patterns where this may support service continuity, or review hours of service provision.</p> <p>Consideration of additional staffing or temporary redeployment of staff to high priority services</p> <p>Consideration of reciprocal cross-authority working opportunities to support critical service delivery and enable staff to work at their nearest local authority temporarily</p>	<p>A mapping exercise has been undertaken to highlight those officers that live in areas at risk of traffic disruption, Associated IT equipment that enables officers to be able to work from home, is currently being sourced and allocated across the council.</p> <p>Directorates have outlined longer term risks within their own Business Continuity plans, of which the need for re-deployment to specific services has been highlighted where necessary so that high-level mission critical activities are maintained.</p> <p>GovRoam capability is available at a number of public buildings throughout the county including council offices and libraries for access to the Kent Public Service Network (KPSN).</p>				
6.4 Interaction with key partners and supply chain providers	Wider Management Team	<p>Maintain interaction with key partners and supply chain providers to seek assurance on their preparedness</p>	<p>Through the Business Continuity planning process, departments have highlighted and contacted key suppliers to make sure providers have put in place measures to mitigate disruption to supply lines in the event of a no-deal scenario.</p> <p>The council has also set up a page on the council website outlining information and advice for the wider local business community, as well as holding a Business Breakfast session for local companies to attend in order to gain further guidance on key areas in the event of a no-deal scenario.</p>				

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Risk 7: Cyberattack Resulting in data breach or corruption of data	Risk Owner: Director (Corporate Services)
<p>Risk Background: As more reliance grows on IT Systems the risks surrounding a cyberattack disrupting those systems becomes more important. Whilst there is no specific targeted threat to local government (confirmed by the National Cyber Security Centre), criminal activity via Cyber methods remains the most likely motivation. The "Official 2019 Annual Cybercrime Report," by Cybersecurity Ventures lists Cyber Crime as the world's biggest criminal growth industry. Whilst technical and non-technical controls can be put in place to reduce the ease at which an IT Infrastructure can be attacked, unknown vulnerabilities (zero day threats) and / or a determined attacker can defeat even the most secure systems. Alongside protecting systems should be well practiced incident response plans</p>	<p>Consequences: A cyberattack can result in the unavailability of systems for normal use, destruction of systems and data, and the theft of data for criminal use.</p>

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

Controls to eliminate, reduce or transfer risk	Lead Officer(s)	Required Management Action as originally documented in the 2019-20 Corporate Risk Register	Management Action Update as at Mid-Year Review	Risk Assessment			
				Q1	Q2	Q3	Q4
7.1 Implementation of Technical Security Controls	Assistant Director (Transformation & IT)	Ensure technical controls (such as firewalls, anti-virus, filtering, log monitoring) remain in place and are regularly reviewed	Technical control arrangements remain in place. Work is underway to replace the existing firewall with a device that also provides email and web filtering capabilities, reducing the footprint in the IT server room. The log monitoring system is in the process of being upgraded.				
7.2 Back up arrangements in place	Assistant Director (Transformation & IT)	Ensure offsite backup arrangements remain in place and are regularly reviewed	Offsite backup arrangements remain in place and continue to be regularly reviewed.				
7.3 Maintain participation with relevant warning bodies	Assistant Director (Transformation & IT)	Continue with maintaining participation in local and national Warning, Advice and Reporting Points (WARP) for up to date situational intelligence information	The council continues to be part of the Kent WARP Group and regularly sends representatives to events held by the National Cyber Security Centre.				
7.4 Maintain direct engagement with Cyber bodies	Assistant Director (Transformation & IT)	Continue maintaining direct engagement with the National Cyber Security Centre and use of their Active Cyber defence tools.	The council continues to engage with the National Cyber Security Centre and make use of their Active Cyber defence tools.				

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7.5 Improvements to existing controls	Assistant Director (Transformation & IT)	Complete improvements to existing controls which includes additional backup facilities, faster recovery from backups and a partnership approach to proactively monitoring security event information.	A review of the council's data storage infrastructure is currently underway, seeking to better utilise and, where appropriate, upgrade the resources we have.				
7.6 Expansion of Business Continuity plans	Assistant Director (Transformation & IT)	Expand existing Business Continuity plans so the cover in more detail the specifics of cyberattack	As part of the data storage review, Business Continuity plans will have to be updated. This will be an ongoing process between now and the new year.				
7.7 Engagement with Local Resilience Partnership	Assistant Director (Transformation & IT)	Engage with the Local Resilience Partnership through the MHCLG Pathfinder programme to ensure multi-agency response is appropriate	IT Services continue to be engaged with the Local Resilience Partnership and, most recently, has been involved in conference calls with the MHCLG regarding Brexit and data implications.				
7.8 Conduct Cyberattack exercise scenarios	Assistant Director (Transformation & IT)	Conduct regular exercises to assess cyberattack recovery plans	IT Services are in the process of developing a plan to test the recovery of system and data in the event of cyberattacks and non-cyber related incidents. Current arrangements for the recovery of data remain effective and in place.				