

Gravesham Borough Council
Mid-Year Review of Corporate Risks
(Review of ALL risks detailed in the 2020-21 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 12th May 2020 are listed below. These risks have been documented in the 2020-21 - 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: Universal Credit

Risk 5: Cyberattack resulting in data breach or corruption of data

Risk 6: Investment Risk

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.

Gravesham Borough Council
Mid-Year Review of Corporate Risks
 (Review of ALL risks detailed in the 2020-21 Corporate Risk Register)

Risk 1: On-going financial viability of the Council	Owner: Director (Corporate Services)																				
Risk Background: Over the last decade Gravesham Borough Council, along with the rest of local government, has experienced significant and sustained cuts to its funding whilst demand on services has risen. By the end of 2019-20 the council will have experienced a cash reduction in government funding levels of some £5m (65%) since 2010-11 (excluding the funding derived from the New Homes Bonus Scheme). The council has faced these challenges head-on and followed a multi-faceted, proactive programme of activity to reduce its budget requirement and ensure a balanced budget which is based on sound assumptions for how planned expenditure will be met. This activity has been successfully delivered, resulting in the council being able to present a fully balanced budget for the current Medium Term Financial Plan which requires no additional savings to be delivered in the plan period to 2028-29. Central Government have released a Local Government Provisional Finance Settlement for one year only relating to 2020-21, with no certainty on the future of local government funding after this. The forthcoming year will see the 2020 Spending Review (setting the envelope of funding available to local government) and decisions being taken by Central Government on a number of other local government funding reforms that are planned for introduction from April 2021, including the Fair Funding Review and reforms to the current Business Rates Retention System. There is also significant uncertainty regarding the potential impacts on the economy after the UK leave the European Union.	Consequences: <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 £2 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. 																				
<table style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="4" style="text-align: left; border-bottom: 1px solid black;">INHERENT RISK SCORE</th> <th colspan="4" style="text-align: left; border-bottom: 1px solid black;">RESIDUAL RISK SCORE</th> </tr> <tr> <td style="border: 1px solid black;">Likelihood</td> <td style="border: 1px solid black; text-align: center;">5</td> <td style="border: 1px solid black;">Impact</td> <td style="border: 1px solid black; text-align: center;">4</td> <td style="border: 1px solid black;">Score</td> <td style="border: 1px solid black; text-align: center;">20</td> <td style="border: 1px solid black;">Likelihood</td> <td style="border: 1px solid black; text-align: center;">4</td> <td style="border: 1px solid black;">Impact</td> <td style="border: 1px solid black; text-align: center;">3</td> <td style="border: 1px solid black;">Score</td> <td style="border: 1px solid black; text-align: center; background-color: #ff0000; color: white;">12</td> </tr> </table>	INHERENT RISK SCORE				RESIDUAL RISK SCORE				Likelihood	5	Impact	4	Score	20	Likelihood	4	Impact	3	Score	12	
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	Required Management Action as originally documented in the Corporate Risk Register	Management Action Update as at Mid-Year Review	Quarterly Risk Assessment			
				Q1	Q2	Q3	Q4
1.1 Medium Term Financial Strategy in place.	Director (Corporate Services) Assistant Director (Corporate Services)	Continue to review reserves and working balance annually to assess financial sustainability and appropriateness of working balances and reserves as a means to manage cash flow, future requirements and unexpected events. Continue the council's financial strategy objectives and the core principles that underpin these. 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.	A one year Medium Term Financial Strategy (MTFS) was put in place in February 2020, covering the 2020/21 financial year. This is pending the outcome of the expected 2020 Spending Review and the local government funding reform which is planned for introduction in April 2021. The global pandemic situation has created much uncertainty in respect of the financial stability of local government as a whole. This said, the primary objectives of the MTFS have held strong, with the council continuing to ensure that sound and robust financial management arrangements are in place to support service delivery and enable the council to manage its financial position in these unexpected and exceptional times.				

Gravesham Borough Council
Mid-Year Review of Corporate Risks
 (Review of ALL risks detailed in the 2020-21 Corporate Risk Register)

Controls to eliminate, reduce or transfer risk	Lead Officer	Required Management Action as originally documented in the Corporate Risk Register	Management Action Update as at Mid-Year Review	Quarterly Risk Assessment			
				Q1	Q2	Q3	Q4
1.2 Medium Term Financial Plan in place.	Director (Corporate Services) Assistant Director (Corporate Services)	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	Officers continue to maintain the Medium Term Financial Plan (MTFP) on a periodic basis, as part of the council's budget monitoring arrangements. Additional activity is also being undertaken to understand the financial impact of the COVID-19 pandemic, both in the current financial year and in future years. Whilst a balanced MTFP was presented to Full Council in February 2020, this position has changed in recent months. Further action required to ensure the financial stability of the council across the MTFP period will be considered as part of the budget setting process for 2021/22.				
1.3 Robust Budget Monitoring process in place.	Assistant Director (Corporate Services)	Continue the programme of development for the council's Financial Management System. New performance measure implemented to assess compliance with budget monitoring arrangements. Continue to proactively respond to central government consultations on funding for local government.	Budget monitoring arrangements continue to be in place and operating effectively. To ensure compliance with budget monitoring, requirements have been implemented to improve performance in this area. The council has continued to respond to relevant Government consultations and to lobby and engage with Central Government, both in its own right and as part of professional groups and associations.				

Gravesham Borough Council
Mid-Year Review of Corporate Risks
 (Review of ALL risks detailed in the 2020-21 Corporate Risk Register)

<p>Risk 2: Changes in national priorities and legislative change</p> <p>Risk Background: Good governance requires that the council is fully informed of legislation and national priorities' including Nationally Significant Infrastructure Projects (NSIPs) to ensure that it is best placed to respond to any implications for its operations or, the Borough more widely. Following the General Election in December 2019, the Queen's Speech introduced the government's formal programme of prospective legislation. Alongside key policy announcements, prospective legislation that impacts upon local government service provision include:</p> <ul style="list-style-type: none"> • Domestic Abuse Bill. • Employment Bill. • Serious Violence Bill. • Sentencing Bill. • Environment Bill. • Telecommunications Infrastructure Bill. • Renters' Reform Bill. • Fire Safety Bill, Building Safety Bill. • Armed Forces (Legal Protections) Bill. • European Union (Withdrawal Agreement) Bill. <p>On enactment of relevant legislation, the council will potentially face new statutory duties, responsibilities or standards with which to adhere, potentially challenging existing services and working practices. Additionally, in January 2020 the European Withdrawal Agreement Bill was enacted by parliament. Whilst the broader social and economic uncertainty associated with delivery of 'Brexit' has subsided, there remains inherent risk relating to the transition period and the next phase of withdrawal. The Government's trade negotiations, both in terms of timescale and final content, present risks in terms of further legislative developments and, more directly, the potential to cause financial instability to council income and investments via national economic uncertainty. In respect of NSIPs, the current proposals that are being progressed and have potential impact on the Borough include:</p> <ul style="list-style-type: none"> • Lower Thames Crossing (in Gravesham and Thurrock) • Thurrock Flexible Generation Plant (Tilbury) • London Resort (in Dartford /Gravesham) <p>The council will need to ensure that it has access to sufficient and appropriate resources, to enable it to effectively respond to these proposals as further information is released.</p>	<p>Owner: Chief Executive & Management Team</p> <p>Consequences:</p> <ul style="list-style-type: none"> • Change of strategic direction for the council. • Breakdown in governance controls and processes. • New legislative and regulatory duties not met and the potential for legal challenge. • Severe financial position, challenging the council's ability to deliver the corporate objectives and policy commitments within the Corporate Plan. • Logistical challenges to the delivery of council services and effectiveness of the council's supply chain. • Sustained levels of service underperformance, resulting in a failure to meet community needs and expectations. • Additional costs/workload pressures for staff impacting morale, sickness absence and future recruitment and retention. • Increased scrutiny from Members, agencies, media and community stakeholders / reputational damage. • The council may need to redirect resources to enable responses to consultations and other processes to be made quickly.
--	---

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	Required Management Action as originally documented in the Corporate Risk Register	Management Action Update as at Mid-Year Review	Risk Assessment			
				Q1	Q2	Q3	Q4
2.1 Timely policy insight.	Corporate Performance Manager	Continued circulation of monthly policy & legislative briefings	Organisationally, the practical impact of the global Covid-19 health pandemic has been significant for the council and its frontline community services. Integral to the council's response has been an enhanced policy				

Gravesham Borough Council
Mid-Year Review of Corporate Risks
 (Review of ALL risks detailed in the 2020-21 Corporate Risk Register)

Controls to eliminate, reduce or transfer risk	Lead Officer	Required Management Action as originally documented in the Corporate Risk Register	Management Action Update as at Mid-Year Review	Risk Assessment			
				Q1	Q2	Q3	Q4
			<p>and intelligence offer to the Corporate Management Team (CMT). This is to ensure the sheer scale and nature of enacted legislation is effectively analysed and accounted for in the plans, preparations and amendments carried out to service processes during the period.</p> <p>Primarily driven by the enactment of the Coronavirus Act 2020 (for which a dedicated policy briefing was produced) and subsequent regulations, policy bulletin products during April and May reverted to a new weekly reporting cycle. The new process enabled full coverage of all key government announcements and, in order to deliver legally compliant services, provided detailed insight into the government's legislative developments.</p> <p>Outside of responsive Covid-19 work, the government's broader legislative programme was captured in a full legislative briefing provided to the CMT in July 2020. Operating on a cyclical 6-monthly reporting process, the latest edition of the product provided details of core legislation originating from the 2019 Queen's Speech e.g. Environment Bill, and early insight into the likely impact for council services.</p>				
2.2 Commitment to informing government policy.	Wider Management Team	Working alongside partner agencies (LGA etc.), deliver proactive responses to formal consultations and policy papers from central government to ensure Gravesham's strategic position is effectively represented.	<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 tailored approach, ensures that the views of the council are effectively 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 first six months of 2020/21, the council's efforts have included formal responses to the</p>				

Gravesham Borough Council
Mid-Year Review of Corporate Risks
 (Review of ALL risks detailed in the 2020-21 Corporate Risk Register)

Controls to eliminate, reduce or transfer risk	Lead Officer	Required Management Action as originally documented in the Corporate Risk Register	Management Action Update as at Mid-Year Review	Risk Assessment			
				Q1	Q2	Q3	Q4
			following consultations: <ul style="list-style-type: none"> • Response to Lower Thames Crossing Consultation as landowner; and • National Fraud Initiative 2020/21 - Work Programme and Scale of Fees 				
2.3 Maintenance of interaction with partner agencies.	Wider Management Team	Ensure a strong commitment to the council's partnership working arrangements and sustaining Gravesham's involvement with key stakeholder agencies and working groups on a national and local basis including (but not exclusive to): <ul style="list-style-type: none"> - Local Government Association. - District Councils Network. - Kent Finance Officers Group. - Kent Resilience Forum (KRF). 	Operationally, Covid-19 amplified the importance of the council's partnership network in securing the best possible outcomes for local residents; whether at a national or local level. As an example, the council continued as an integral partner to the Command and Control structure, set up through the Kent Resilience Forum, both at a tactical and strategic level, as well as various sub-groups, including the Vulnerable Persons & Communities Group and Supply Chain & Logistics Group. In addition to the Covid-19 response, during the period the council continued to embed its commitment to partnership working throughout its service delivery, evidenced through schemes such as the Shielded scheme working with local charities and voluntary groups. In line with the recommendations identified through the LGA Peer Challenge review, the Chief Executive and the Director (Planning & Development) have established new networking opportunities with key partner agencies (e.g. Homes England, Thames Estuary Growth Board Envoy etc.) in order to boost the profile of Gravesham and to try and leverage the necessary infrastructure funding to support development in the borough.				
2.4 Planning for Business Continuity.	Wider Management Team	Business Continuity Plans to be reviewed and updated to ensure they remain fit for purpose.	As part of the governance tools used in response to Covid-19, a cross-Directorate group of officers was identified to operate as a research source and 'critical friend' to the CMT. Amongst its activities the group coordinated a series of reviews into the council's critical services. In doing so, the group was able to identify the various IT, HR and business needs to ensure continued front-line delivery, enabling				

Gravesham Borough Council
Mid-Year Review of Corporate Risks
 (Review of ALL risks detailed in the 2020-21 Corporate Risk Register)

Controls to eliminate, reduce or transfer risk	Lead Officer	Required Management Action as originally documented in the Corporate Risk Register	Management Action Update as at Mid-Year Review	Risk Assessment			
				Q1	Q2	Q3	Q4
			<p>the CMT to respond effectively in the design of essential resilience planning.</p> <p>The group has remained in place to ensure that BCP remain fit for purpose should any second-wave restrictions be placed upon the authority/Borough.</p>				
2.5 Establishment of new Member training development plan.	Committee Services/Wider Management Team	Develop a Member Induction Programme to support all Members elected and continue to deliver a training and development plan to Members.	<p>Due to the impact of Covid-19, no formal Member training sessions were arranged. A small number of 1-1 sessions have been held for those Members that required Planning training.</p> <p>Following the Member induction training programme, a 'training needs analysis questionnaire' was distributed to all Members allowing them to highlight any further training needs. All Members' responses were analysed and incorporated into the Council's ongoing Member Training and Development Plan. There has been a delay in the Plan being approved/implemented due to COVID-19. The intention will be to progress this from the Autumn onwards.</p>				
2.6 Maintain proactive briefing and information sharing arrangements between council departments, Members and staff to ensure an effective and coordinated response to significant projects in the Borough.	Director (Planning & Development)	Develop effective working practices between departments to enable information sharing and coordination of responses on behalf of the council. Put in place a mechanism which enables regular updates to be provided to Members.	<p>A Corporate Delivery Plan has been established to act as a central repository of all key Council Projects and initiatives. This enables improved cross-departmental working and knowledge sharing about progress being made, and also helps to inform Portfolio Holder/Shadow Portfolio Holder and Cabinet Committee briefings.</p> <p>As part of the Council's COVID response, a report was taken to each of the Council's Cabinet Committees outlining the impact of the pandemic on the services within that Portfolio. The Chief Executive has instigated a weekly email update to all staff setting out updates in a number of key areas, with this also being periodically shared with Members. The CE also meets regularly with the Leader, and the group leaders of both the opposition parties.</p>				

Gravesham Borough Council
Mid-Year Review of Corporate Risks
 (Review of ALL risks detailed in the 2020-21 Corporate Risk Register)

Risk 3: Organisational capacity/ resilience	Owner: Chief Executive & Management Team																				
<p>Risk Background: The council's Management Team have put in place a number of arrangements to help the effective direction of the council's finite staffing resources, including approval of all new appointments and the cessation of temporary staff contracts and non-contractual overtime (except in exceptional circumstances). This is intended to reduce the risk of key person dependency and poor resilience by recognising and improving organisational capacity and resilience where needed, identifying critical tasks, working flexibly across departments and developing the skills and abilities of key leaders and staff.</p> <p>In developing its working arrangements the council will also need to manage the aging operational buildings from which it delivers services to ensure these remain fit for purpose and capable of supporting its ways of working and the methods of access preferred by service users.</p> <p>The council also needs 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, particularly in light of the current coronavirus outbreak.</p>	<p>Consequences:</p> <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. 																				
<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 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;">4</td> <td style="text-align: center;">Score</td> <td style="text-align: center;">20</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;">3</td> <td style="text-align: center;">Score</td> <td style="text-align: center; background-color: red;">15</td> </tr> </table>	INHERENT RISK SCORE				RESIDUAL RISK SCORE				Likelihood	5	Impact	4	Score	20	Likelihood	5	Impact	3	Score	15	
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	Required Management Action as originally documented in the Corporate Risk Register	Management Action Update as at Mid-Year Review	Risk Assessment			
				Q1	Q2	Q3	Q4
3.1 Effective allocation of resources.	Management Team	Management Team to continue to receive all requests to fill vacant posts. Management Team to continue to receive periodic information regarding staff resourcing costs v budget, which includes information on vacancies to enable discussion on this. Annual review of vacant positions within the authority. Annual review of the delivery of existing shared services to confirm that these continue to work well, provide resilience and offer career opportunities for staff. Continue to develop and use technology where possible to free up resources that could be allocated to other tasks.	All requests for filling of vacant posts are reviewed by Management Team and in addition posts that have been vacant for over a year are reviewed on an annual basis. The shared service arrangements are reviewed on an annual basis to ensure that they continue to meet our objectives. Due to Covid-19 existing staff have been allocated to new tasks and others areas of work, this work is on-going.				
3.2 Flexible working arrangements.	Management Team	Consider ways in which the workforce can work more flexibly, including shared services, work patterns, appropriate remote working and use of available technology. Continue to offer apprenticeship positions that focus on ensuring that, at the end of the training contract, apprentices are 'job ready'. Seek to train apprentices in areas where the council may be having difficulties in recruitment.	A Task and Finish Working group has been established to consider Homeworking/Flexible working arrangements going forward. A full review of Apprenticeships and work experience is currently being reviewed and taken forward at the current time.				

Gravesham Borough Council
Mid-Year Review of Corporate Risks
 (Review of ALL risks detailed in the 2020-21 Corporate Risk Register)

Controls to eliminate, reduce or transfer risk	Lead Officer	Required Management Action as originally documented in the Corporate Risk Register	Management Action Update as at Mid-Year Review	Risk Assessment			
				Q1	Q2	Q3	Q4
3.3 Provision of training and support.	Director (Communities)	Retain a specific budget for supporting staff training and development. In line with the Investors In People (IIP) Action plan, ensure annual appraisals are carried out for all staff to identify training needs, alongside periodic one to one meetings to monitor performance and identify any further training needs. Continue to offer all employees e-learning and face to face training opportunities via the HRA Shared Service iShare training system.	Training at present is mostly virtual. A new appraisal system was introduced in March/April of this year and all managers received the appropriate training. The new system has been in place since April and all appraisals should have been concluded by the end of September. Any outstanding appraisals are currently being chased.				
3.4 Workforce Support.	Director (Communities)	Continue to operate the Joint Staff forum to update the workforce on key issues regarding the Council and give employees the opportunity to raise any concerns they may have. Deliver the IIP action plan. Continue to actively proactively and positively engage with Trade Unions. Continue communication to promote Occupational Health, the Employee Assistance Programme and the Mental Health Champions as further confidential support services for staff.	The Investors in People working group is leading on the action plan and good progress is being made, with regular reports to Management Team. Communication has been key during these changing times and the Branch Secretary of Unison has been working closely with Management Team during these difficult times. In addition, it has been essential that we have been supporting staff and on a weekly basis staff are receiving communication from the Chief Executive, who is giving amongst other things, information around support that is available to staff.				
3.5 Operational Building Management.	Director (Communities)	Asset Management Group to maintain oversight of the operational buildings used to deliver council services.	A small group of staff have been leading on the Covid compliant plan for the Civic buildings and regular updates have been provided to staff. The offices are currently being covered on a rota basis and regular checks are put in place to ensure that staff are complying with the new changes to the buildings. The plans continue to be updated and modified in line with government advice.				
3.6 Business Continuity Framework.	Wider Management Team	Review all Business Continuity plans on an annual basis to ensure that they are up to date and fit for purpose. Develop existing information for local businesses or organisations with regards to the importance for their own resilience during a potential Business Continuity event that affects their business and staff.	Our plans have been updated in line with Covid-19 changes and are currently being reviewed in line with the County approach to the Brexit withdrawal arrangements.				

Gravesham Borough Council
Mid-Year Review of Corporate Risks
 (Review of ALL risks detailed in the 2020-21 Corporate Risk Register)

Risk 4: Universal Credit	Risk Owner: Director (Corporate Services) Service Manager (Revenues & Benefits)
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 was available for all types of claimant with the exception of a few categories. The Department for Work and Pensions (DWP) had overall responsibility for implementing Universal Credit, although the Council has a key role in providing Universal Support to residents who wish to claim. From 1 April 2019 the DWP sub contracted Citizens Advice to do the Assisted Digital Support and Personal Budgeting Support directly to residents. Implementation of additional analytical software to support the Housing Income Team, along with regular income collection performance monitoring, review of income collection procedures and audits and early intervention to support tenants has assisted in dealing with this risk adequately. The Work and Pensions Secretary announced Feb 2020 that the full roll-out of Universal Credit has been delayed from Dec 2023 to Sept 2024, as data now suggests that natural migration over to Universal Credit through changes to people's circumstances, is happening less frequently than previously predicted.	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. The latest announcement (Feb 2020) has again delayed managed migration this time to Sept 2024. This makes it difficult to predict the resourcing requirements of the benefits service. Data shows that, Full service caseload is continuing to reduce 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; <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. Indirect consequences are also expected, with increased costs of cash handling through the shift away from rebating benefit to cash transactions.

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	Required Management Action as originally documented in the Corporate Risk Register	Management Action Update as at Mid-Year Review	Risk Assessment			
				Q1	Q2	Q3	Q4
4.1 Regular Meetings Planned to take place with JCP Senior Officers.	Head of Revenues and Benefits Assistant Revenues and Benefits Manager	Relevant departmental officers to continue to liaise and meet with representatives from Citizens Advice Bureau and Job Centre Plus (JCP). Continue to proactively take part in meetings to improve the customer experience, hosted by the Department for Work & Pensions. Take part in Job Shadowing exercises to enable JCP staff to spend time at the Civic Centre with Housing Benefit, Housing Income and Housing Options staff, with a reciprocal arrangement for Local Authority staff to attend the Jobcentre.	Liaison has continued despite the Covid-19 pandemic although remotely. JCP Partnership Manager has remarked that "they are proud of the working relationship between JCP and GBC (Housing and Benefit sections)". Caseload & workload has been closely monitored and reported. The first half-year has seen significant benefit changes with good regular update bulletins (22 CLAWD bulletins received). Job shadowing temporarily suspended due to the pandemic but will be resurrected as soon as practicable.				

Gravesham Borough Council
Mid-Year Review of Corporate Risks
 (Review of ALL risks detailed in the 2020-21 Corporate Risk Register)

Controls to eliminate, reduce or transfer risk	Lead Officer	Required Management Action as originally documented in the Corporate Risk Register	Management Action Update as at Mid-Year Review	Risk Assessment			
4.2 Customers given help with claiming Universal Credit and managing finance.	Head of Revenues and Benefits Housing Income Manager	Citizens Advice (CA) now provides 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 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.	CAB has not had a physical presence in either the Civic Centre, or the Jobcentre, due to Covid-19 restrictions during the first half-year. They have however continued to provide the service remotely via telephone. There have been no evictions during first half-year due to national suspension, but Web pages are kept up to date and targeted social media messaging is in place to signpost claimants where assistance is needed. Particular advice has been promoted concerning hardship caused by the Covid-19 pandemic and relevant grants/payments that are available. Despite a significant increase in UC claimants the Housing Team has managed the level of rent arrears by the use of alternative payment arrangements to control rent arrears.				
4.3 Contact with residents as well as social and private landlords to establish impact of Universal Credit.	Head of Revenues and Benefits Housing Income Manager	Signposting of customers to the CAB Help to Claim Service, JCP and GOV.UK as and when appropriate. Continue to work alongside JCP to provide scheduled appointments for customers. Review and update correspondence issued to claimants where necessary to advise on claiming Universal Credit.	Signposting has continued. Although JCP has advised that customer numbers have slightly reduced. Close working with JCP continues via telephone. Web pages are kept up to date and targeted social media messaging is in place to signpost claimants..				
4.4 Maintain briefing arrangements for members and staff and provide regular updates of any changes.	Head of Revenues and Benefits Housing Income Manager	Continue to provide briefings for staff on a regular basis through Team Meetings and Staff bulletins. Delivery of briefings and reports to members of the Performance & Administration Committee. Inclusion of training sessions as appropriate through the Member Training Programme.	Staff have continued to be briefed and received regular bulletins and information/training on system changes. Members have been updated via the Performance and Administration committee.				

Gravesham Borough Council
Mid-Year Review of Corporate Risks
 (Review of ALL risks detailed in the 2020-21 Corporate Risk Register)

<p>Risk 5: Cyberattack Resulting in data breach or corruption of data</p>	<p>Risk Owner: Director (Corporate Services)</p>
<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. The target dates specified for controls are marked as ongoing since constant management action is required to ensure we do not slip backwards with our arrangements and defences. Alongside protecting systems should be a well-practiced incident response plans.</p>	<p>Consequences:</p> <ul style="list-style-type: none"> Unavailability of systems for normal use in service delivery. Destruction of systems and data. Theft of data for criminal use. Financial loss. Reputational damage. Extended period to recover council services to usual business.

INHERENT RISK SCORE					RESIDUAL RISK SCORE						
Likelihood	4	Impact	4	Score	16	Likelihood	3	Impact	4	Score	12

Controls to eliminate, reduce or transfer risk	Lead Officer	Required Management Action as originally documented in the Corporate Risk Register	Management Action Update as at Mid-Year Review	Risk Assessment			
				Q1	Q2	Q3	Q4
5.1 Implementation of Technical Security Controls.	Assistant Director (Transformation & IT)	Maintain existing security control arrangements. Replace the existing firewall with a device that also provides email and web filtering capabilities, reducing the footprint in the IT server room, upgrade the log monitoring system.	Due to other commitments the new web and email filtering capability has not been progressed, but existing control systems have been arranged to remain in place for a further year. The log monitoring system has been updated and the configuration reviewed.				
5.2 Back up arrangements in place.	Assistant Director (Transformation & IT)	Maintain offsite backup arrangements. Implement enhancements to arrangements for recovery site (estimated to be complete by summer 2020).	The existing offsite arrangements continue. The enhancements have been delayed by approximately six months. This is due to the physical delivery and installations not being possible due to the governments Covid-19 restrictions being in place at the time.				
5.3 Maintain participation with relevant warning bodies.	Assistant Director (Transformation & IT)	Continue to be part of the Kent Warning, Advice and Reporting Points (WARP) Group. Continue to actively attend briefing events held by the National Cyber Security Centre.	This work continues.				

Gravesham Borough Council
Mid-Year Review of Corporate Risks
 (Review of ALL risks detailed in the 2020-21 Corporate Risk Register)

Controls to eliminate, reduce or transfer risk	Lead Officer	Required Management Action as originally documented in the Corporate Risk Register	Management Action Update as at Mid-Year Review	Risk Assessment			
				Q1	Q2	Q3	Q4
5.4 Maintain direct engagement with Cyber bodies.	Assistant Director (Transformation & IT)	Continue to engage with the National Cyber Security Centre and make use of their Active Cyber defence tools. Continue to be active participants on the LGA Cyber Technical Advisory Group whose purpose is to promote best practice and awareness of cyber issues to the local government sector.	This work continues.				
5.5 Improvements to existing controls.	Assistant Director (Transformation & IT)	Continue to proactively maintain arrangements to upgrade council devices and maintain the patch management solution (ensuring computers can be kept up to date with software updates), as well as the Mobile Device Management (MDM) and Secure Email solutions to better protect mobile devices. Implement further enhancements to MDM and USB device control.	This work continues.				
5.6 Expansion of Business Continuity plans.	Assistant Director (Transformation & IT)	Update departmental business continuity plans to include a realistic recovery time objective for services. Review the IT disaster recovery plan during 2020 to take account of changes in storage infrastructure.	This work is dependent upon 5.2 above and has been delayed by six months as a result.				
5.7 Engagement with Local Resilience Partnership.	Assistant Director (Transformation & IT)	Take an active role with the Kent Resilience Team to develop an incident response plan for the county which will provide a structure for managing a cyber incident based upon existing protocols (using JESIP - Joint Emergency Services Interoperability Principles).	The Kent Resilience Forum have deferred this work due to the level of resources being required for Covid-19 response.				
5.8 Conduct Cyberattack exercise scenarios.	Assistant Director (Transformation & IT)	Continue to participate in cyberattack workshops as these become available. Undertake further activities during 2020 with the National Cyber Security Centre "exercise in a box" service.	Following on from deploying staff awareness training in July, an email phishing simulation exercise is being planned.				

Gravesham Borough Council
Mid-Year Review of Corporate Risks
 (Review of ALL risks detailed in the 2020-21 Corporate Risk Register)

Risk 6: Investment Risk	Risk Owner: Director (Corporate Services)
Risk Background: As part of its strategy to respond to a decade of significant and sustained cuts, over the last four years the council has increased its exposure to investment risk and commercial risk through the diversification of its investment activity and Property Acquisition Strategy. The council holds £20m of investments in Multi-Asset Funds and Property Funds; this provides greater opportunities for the council to generate investment yields beyond those offered by traditional banks and building societies, but also greater exposure to fluctuations in the capital value of the investments held. To date, the Property Acquisition Strategy has secured interests in seven commercial property holdings valued at £22m, generating some £1.5m in rental income per annum. The strategy does, however, expose the council to risks around movements in commercial property values and the strength of financial standing of the tenants of these properties.	Consequences: <ul style="list-style-type: none"> Investments do not perform as expected e.g. due to economic downturn, which impacts on the balance sheet value of assets. Greater exposure to risk of void periods and loss of income if commercial tenants fail or hand back premises when their lease allows. Landlord responsibilities on commercial properties exceed anticipated levels e.g. due to increased void periods and associated outgoings such as empty rates, utility, maintenance and refurbishment costs. Spending plans are based on levels of commercial rental income and investment income that are not achieved, affecting core council service delivery. Balance sheet value of assets is eroded. Negative impact on council reputation.

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	Required Management Action as originally documented in the Corporate Risk Register	Management Action Update as at Mid-Year Review	Risk Assessment			
				Q1	Q2	Q3	Q4
6.1 Treasury and Investment Framework.	Assistant Director (Corporate Services)	Continue to maintain the Treasury Management Strategy Statement, Capital Strategy and Property Acquisition Strategy to formalise the agreed parameters for investment.	Treasury Management Strategy Statement (TMSS) and Capital Strategy for 2020/21 were approved by Full Council on 25 February alongside the 2020/21 budget. The Property Acquisition Strategy has been reviewed and property investment guidance updated to assist with future investment proposals and as a tool in the ongoing management and monitoring of the portfolio. This updated guidance was adopted by Full Council on 6 October 2020.				
6.2 Monitoring and review of treasury activity.	Assistant Director (Corporate Services)	Continue to provide and develop quarterly monitoring of treasury and commercial investment activity, to both officers and Members, to report and review performance of the diversified investment portfolio.	The TMSS annual review report was presented to F&A Committee on 21 July 2020. As well as a review of 2019/10, this provided an update to Members of the action that had been taken by officers in consultation with the Chair of F&A in response to the COVID-19 pandemic. A combined Quarter 1 and Quarter 2 Treasury Management report was.				

Gravesham Borough Council
Mid-Year Review of Corporate Risks
 (Review of ALL risks detailed in the 2020-21 Corporate Risk Register)

Controls to eliminate, reduce or transfer risk	Lead Officer	Required Management Action as originally documented in the Corporate Risk Register	Management Action Update as at Mid-Year Review	Risk Assessment			
				Q1	Q2	Q3	Q4
			presented to Management Team on 20 October 2020. The mid-year TMSS is to be presented to F&A committee on 11 November 2020. The council has developed a dashboard to maintain oversight and monitoring of its commercial property portfolio, which includes acquisitions made under the Property Acquisition Strategy. This is produced quarterly and presented to Management Team as well as the Commercial Services Cabinet Committee.				
6.3 Financial Protection.	Assistant Director (Corporate Services)	Maintain the commercial income protection reserve, the balance of which is set at 15% of investment income in any year. Continue the close working relationship between Financial Services and Property Services to enable early identification of any risks or opportunities from the council's commercial property portfolio.	The Commercial Income Protection Reserve for 2020-21 is £438,590 as per the MTFP, reflecting a level at 15% of budgeted commercial income for the year. Financial Services and Property Services continue to work closely to identify any risks or opportunities from the council's commercial property portfolio, with this activity also informed by commercial property portfolio dashboard.				
6.4 Professional advice and support.	Assistant Director (Corporate Services)	Ensure that ongoing advice and support is sought from the council's Treasury and Economic advisors and other experts as required. Ensure that any new activity is subject to appropriate due diligence, including seeking advice and support from external experts as required.	Link Treasury Services was contracted to provide consultancy services to the Council to 30 September 2020. It was the intention to undertake a procurement exercise for the provision of consultancy services from 1 October 2020. However, as a result of the financial and economic impacts of COVID as well as some significant Council projects, it was decided that it was important for continuity of advice and support. Therefore a further two year contract has been issued to Link Treasury Services in accordance with Procurement Policy Note 01/20. The cost of contract for the two year extension period is consistent with previous contract cost.				