

MKC Corporate Risk Register

Risk							01. Safeguarding and caring for Children and Adults in order to minimise the possibility of harm to those in the Council's care						
5							Risk Owners	Victoria Collins; Mac Heath	Current Score	15	Last Review	25/01/2021	
4							Target Score	10	Next Review	25/04/2021			
3					X		Previous Score	15	Potential Consequences				
2					T		Likelihood Factors (Vulnerability)						o Significant failure in our duty of care o Harm, abuse, accident or death to a child or adult linked to failure of the Council to act within safeguarding arrangements o High reputational damage o Financial costs in compensation o Possible intervention by Ofsted, CQC and/or Government
1							Triggers						
							1. Ineffective practice/professional standards 2. Failure of Social Workers to comply with procedures 3. Failure of care providers, foster carers and care homes 4. Failure in communication and information sharing within the Council and with Partner Agencies 5. Failure to identify and manage safeguarding risks 6. Failure to listen to the views of the adult or child 7. Lack of clarity of roles and responsibilities 8. Unexpected surge in demand in children or adults services (e.g. increase in LAC numbers, older people requiring support on discharge from hospital) 9. Delay in allocating resources once needs have been identified 10. Capacity of workforce 11. Data breach 12. Lack of capacity to provide support services from external providers/ provider failure 13. Impact on COVID-19 further outbreaks on service provision and safeguarding						

Consequence

Controls		Adequacy		Critical Success		Action Plans		Responsibility		Target Date	
01. Policies set out an effective governance framework: - Children's and Adult's Social Care adopt Tri.X policies and procedures. - Tri.X is used by a number of Local Authorities and is subject to regular challenge by National Forums to which MKC attends. - Annual review of key policies and procedures. - All adults policies and procedures are approved via Service Director and internal legal service. - Children's policies have now been strengthened through restructure and oversight through CA and PrinaLSW		Good									
02. Effective Quality Assurance/Performance Framework:		Good									

<ul style="list-style-type: none"> - External review by Ofsted or CQC. - Effective performance reporting and management information - Support from Corporate Core for improvements to performance analysis. - Support from Service Directors for chairing regular and effective performance management forums. - annual review of performance and monitoring framework - Utilisation of regional and national benchmarking. - Protocol to ensure that policies and procedures are effectively communicated and complied with including case audits, file checks, peer challenge, spot checks, regular supervision and performance management. - Regular briefings with the leader of the council, key councillors and the chief executive. - Open channels of communication with all key partners. - Scrutiny Committees. - Internal Audit processes (within service inc. file reviews) - Section 11 Audit. 		
<ul style="list-style-type: none"> 03. Capable and well supported workforce. - Continuous programme of training. - mandatory training for all Council staff. - 0<10% agency staff - Monitoring agency staff - Consistently monitoring S/K/E within the team. - Principal Social Worker Role (ensures good 	Good	
<ul style="list-style-type: none"> 04. External Providers quality and performance reviews: - High quality commissioned and third sector/community services and effective market development. - Contract monitoring of quality performance across external providers (programme of quality and compliance checks for all care providers). - BCP's for key suppliers and personnel. 	Good	
<ul style="list-style-type: none"> 05. Demand Management: 	Good	

<p>- Continued ability to invest in Early Help (eg Troubled Families Grant)</p> <p>- Analysis of actual outturn to forecast demand.</p> <p>- Embedding Golden Triangle Practice model to promote sustainability.</p> <p>06. Regular assurance sort on IT controls regarding security such as penetration testing as well as assurance sort from key partners. Staff training on GDPR.</p>	Good	
07. Annual review of eligibility criteria set out in policies and procedures and legislation.	Good	
08. Active engagement in LGA, ADASS and ADCS programmes.	Good	
09. Maintain oversight of local and national market issues (for example national living wage). Investment in quality assurance programmes and robust intervention strategies.	Good	
10. Multi-Agency/Partnership working, including: MKTogether, Education Partnership, MASH, Housing Adults & Children's Board, Youth Partnership, MK Partnership Voice, Independent Advocacy Service	Good	

Risk	02. Fulfil Statutory or Legislative Responsibilities - safeguarding to minimise the possibility of the Council 'losing' cases that challenge its' decisions																																																																																																																							
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Action Plans	Responsibility	Target Date
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Controls	Adequacy	Critical Success
Business planning processes within services used to identify and address changes to legislative/regulatory requirements.	Good	
Code of Corporate Governance	Good	
Community Impact Assessments required for key decisions.	Good	
Constitutional delegation to Committees and SMT.	Good	
Effective and transparent decision making including forward plan.	Good	
Effective processes and procedures for info. governance.	Good	
Health and Safety policies and processes.	Good	
Legal Services provide support.	Good	

Monitoring Officer role.	Good	
Preparation for and improvement undertaken following inspections by regulators (e.g. Ofsted).	Good	
Projects and training to ensure the implementation of legislative changes (e.g. Care Act).	Good	
Review of Constitution and procedures.	Good	

Risk 03. Successful development of City's infrastructure to support growth

Risk	03. Successful development of City's infrastructure to support growth				
5					
4					
3			X/T		
2					
1					
	1	2	3	4	5
	Consequence				
Likelihood					
	Risk Owners	Paul Thomas			
	Triggers	<ul style="list-style-type: none"> - Lack of infrastructure to deliver high quality growth - Insufficient funding – both internal or external - Government grant funding redirected from MK - Lack of local support for growth - Investor confidence in Milton Keynes Council and wider MK 			
	Likelihood Factors (Vulnerability)	<ul style="list-style-type: none"> - National policy commitment to MK's growth ambitions - Implementation of Plan:MK - Development of the 2050 policies - Competition for funding at national/European level - Other people's growth ambition, impacts on funding 			
	Potential Consequences	<ul style="list-style-type: none"> - Meeting the need for the right type and mix of housing - Labour supply constrained, damaging business growth and productivity - Uplift in Council tax and business rate not secured. - Piecemeal development resulting in poor planning and inadequate infrastructure - Poor quality place-making not delivering the Councils ambition in the Council Plan, ie. being the greenest city - Infrastructure unable to cope with growth - Loss of credibility as a high growth area - Increase in affordability gaps - Increased homelessness - Inability of Council to fulfil statutory Responsibilities • House price escalation 			
	Last Review	16/01/2021			
	Next Review	16/04/2021			

Controls	Adequacy	Critical Success
1. MK2050 Futures Programme -MK2050 Strategy evidence base -MK2050 strategy -Delivery vehicles	Good	Planned growth
2. Effective Council strategies Mobility Strategy Housing Strategy	Good	
3. Engagement with regional and national bodies SEMLEP, EEH, Central Area Growth Board, OxCam arc	Reasonable	
4. Plan MK Process	Good	Planned growth
5. Regular performance monitoring.	Good	
6. Efficient Asset management principles	Good	
7. Resources for infrastructure evidence base	Good	Right level and quality of resource resourced to produce evidence base that helps in

Action Plans	Responsibility	Target Date
1. Infrastructure prioritisation To create and oversee the delivery programme		31/03/2021
2. Engagement with Government and others (national) Continuing engagement to shape and define the national expectations of growth in this area.		31/03/2021
3. Plan:MK Implementation Board To unblock and support the delivery of large sites.		31/03/2021
4. housing delivery pipeline Plan to progress council owned sites to be released to support housing delivery and build out rates. New process developed.		31/03/2021
5. Workstream co-ordination across the local plan preparation, RCMK, Mass Rapid Transit, MK Futures and delivery mechani Commissioning work to help us develop a better understanding of delivering the workstreams, including governance and resourcing.		31/03/2022

Budget allocated to cover the work to provide evidence for infrastructure in relation to local plan and future growth	8. COVID 19 Recovery Framework Promote economic recovery and manage resources effectively. Interventions to maximise support in economic and social terms, attracting investment from the private sector and government	Good	Stable economy in MK	progress the growth strategy in a timely way
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6. Delivery vehicle for growth Developing a project to determine the most appropriate delivery mechanisms, ie. Development Corporation. Capturing uplift in land value for infrastructure funding		31/03/2022
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04. Effective Financial and Contract Management and Governance Controls to minimise the potential for significant financial pressures and/or service failures arising unexpectedly										
Risk	04. Effective Financial and Contract Management and Governance Controls to minimise the potential for significant financial pressures and/or service failures arising unexpectedly									
5						Steve Richardson	Risk Owners	15	Last Review 22/01/2021 Next Review 22/04/2021	
4								15		
3					X/T			15		
2										
1										
	1	2	3	4	5					
	Consequence									
Likelihood						Triggers				Potential Consequences
						1. Ineffective financial and procurement governance framework 2. Ineffective Contract Management Framework 3. Funding insufficient to resource demand and associated plans. 4. Increased levels of demand over and above that which is capable of being funded (e.g. increased population, changes in demographics, legislative changes, local expectations and priorities). 5. Major failure of IT and/or key systems. 6. Failure of contractor/ provider and/or supply chain.				1. Council's financial position goes into deficit, reducing confidence in financial strength and governance 2. Government intervention 3. Failure to deliver the Council Plan. 4. Key business systems are unavailable or insufficient for business need. 5. Litigation.
						Likelihood Factors (Vulnerability)				
						- Budgetary control and forecasting processes - Change in local political direction and priorities - Unclear potential impact of BREXIT on the wider economy, the local environment, the national agenda and public service. - C19 pressures (short and longer term)				

Controls	Adequacy	Critical Success
1. Financial Governance Framework o This includes financial procedure rules, contract management procedure rules, budget setting process and monitoring and close-down.	Good	
2. Accountability for budget delivery o Colleagues recognise and embrace their personal accountability for delivering on time, to standard and within budget and deliver their savings/income objectives. o Accountability letters issued to all budget managers.	Good	
3. Budget Development o Deliverable proposals are generated, which are stress-tested for deliverability. Those with significant lead-in times or require a change in policy are sufficiently worked up before being subject to political scrutiny and approval.	Good	
4. Budget Monitoring, forecasting and reporting	Good	

Action Plans	Responsibility	Target Date
Contract Manager Training programme	Steve Richardson	30/06/2021
Purchase and implementation of Contract Management system	Steve Richardson	01/04/2021
Reviewing the use of Contract Forms within ERP Linking ERP orders etc to contracts and procurement	Steve Richardson	01/06/2021

<ul style="list-style-type: none"> oRegular monitoring of revenue and capital budget forecasts is undertaken - with corrective action identified and taken to mitigate overspends/underfunding/reduced income at the earliest opportunity oMonthly reports to CLT and quarterly reports to Cabinet on revenue and capital budget forecasts. oExternal Audit oInternal Audit opinion 		
<p>5. Revenue Generation</p> <ul style="list-style-type: none"> oAnnual review of Fees and charges oAnnual Setting on Council Tax base and annual budget oFees and Charges Policy oAdequately resourced Council Tax process oDebt Recovery Policy 	Good	
<p>6. Effective MTFP and Budget Process</p> <ul style="list-style-type: none"> oMKC operates a robust and well understood MTFP and budget process. oThere is wide stakeholder engagement and recognition of the situation. Work starts early in the cycle and there is an open and transparent articulation of the issues and the requirements for action. Councillor engagement is extensive with Cabinet, Scrutiny and other councillors. External partners and stakeholders are involved along the way. oSection 20 Report 	Good	
<p>7. Commissioning and Procurement Cycle</p> <ul style="list-style-type: none"> oRobust contract management process in place oPartnership working, integration with health trust and joint ventures. oEffective service and contractual checks are made by the contracting managers before contract placement on an ongoing basis. oDeliver specialist procurement training programme. oHave a standard corporate approach to the management of significant contracts. 	Good	

05. Effective discharge of the Council's Landlord responsibilities - THIS RISK IS BEING REVISED TO REFLECT THE RECENT REORGANISATION							
Risk						Last Review 16/01/2021 Next Review 01/04/2021	
5					15	Potential Consequences •Harm, accident or death •Financial costs in compensation •Reputational damage	
4					15		
3				X	Likelihood Factors (Vulnerability) •New under-resourced asset management and investment team •Legislation (e.g. anticipated changes following Hackett Review into Grenfell) •Competing demands for investment (e.g. new build versus investing in existing stock)		
2							
1							
	1	2	3	4	5		
Consequence							
Risk Owners Stuart Proffitt Triggers <ul style="list-style-type: none"> •Inadequate proactive inspection and survey •Failure to have up to date stock condition surveys •Failure to have adequate and up to date Fire Risk Assessments •Failure to have adequate FLAGE policies, processes and registers (Fire, Legionella, Asbestos, Gas, Electrical) •Failure to have adequate policies in respect of living in flatted developments •Failure to carry out regular fire alarm testing •Failure to carry out regular and routine block and estate inspections •Lack of capacity and skills •Unauthorised and unreported activities by tenants and leaseholders (e.g. alterations) •Poor controls over the contractor to assess expertise and quality of work Supplier failure •Inappropriate use of buildings and failure to carry out risk assessments (e.g. placing known criminals under our homelessness duties in or near areas where vulnerable people live) •Failure to sustain involvement of tenants and leaseholders in service delivery Failure to have an effective recharge policy 							

Action Plans	Responsibility
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Controls	Adequacy	Critical Success
Desktop surveys are currently undertaken on high value works by the asset management team supported by Gleeds cost consultants.	Good	
Agency support in place whilst we seek permanent team members.	Good	
Neighbourhood officers carry out regular estate and block inspections, and tenancy audits.	Good	

Regular operational and strategic meetings are held with the contractor to discuss service delivery and capacity.	Good	
Quarterly tenants repair focus group takes place to gauge our service level.	Good	
Training and development needs identified through appraisals and 1-2-1's.	Good	

06. Organisational Capacity to minimise the potential for significant service failures and/or financial pressures arising unnecessarily									
Risk	Risk Owners Steve Richardson		Current Score 8	Last Review 16/01/2021					
			Target Score 8	Next Review 16/04/2021					
			Previous Score 8						
	Likelihood Factors (Vulnerability)			Potential Consequences					
	<ul style="list-style-type: none"> - Brexit Uncertainty - Contractor reliance - Establishment control and recruitment processes - Covid19 pressures 			<ul style="list-style-type: none"> 1. Excessive workload for staff/colleagues 2. Diluted quality and compromised outcomes 3. Delays in implementation, delivery, change and improvement 4. Loss of key skills 5. Employees unable to deliver services 6. Customer/partner dissatisfaction 7. Regulatory criticism / sanctions 8. Civil or criminal action 					
	Triggers								
	<ul style="list-style-type: none"> 1. Unable to recruit and retain staff with the right skills and experience. 2. Providers / partners are unable to recruit staff with the right skills and experience 3. key business systems are unavailable or insufficient for business need 4. Business Continuity and Disaster Recovery Plans are insufficient 5. Non-compliance with expected set of values and behaviours 6. LGSS review 								
	Consequence								
	5								
	4								
	3								
	2		X/T						
	1								

Controls	Adequacy	Critical Success
Aligned Disaster recovery, emergency planning and BCP's	Good	
Apprenticeship opportunities	Good	
Employee support available	Good	
Flexible terms and conditions of employment	Good	
IT resilience Arrangements	Good	
Recruitment Policy	Good	
Robust performance management, appraisal process and development practices in place for staff	Good	
Training and development for all staff	Good	
Workforce strategy	Good	

Action Plans	Responsibility	Target Date
Monitor Brexit decisions/ implementation	Sarah Gonsalves	31/03/2021
Monitor C19 implications and consequences	Steve Richardson	01/04/2021

07. The effective management of projects to deliver / support Council objectives and to minimise the potential for project failure undermining services and/or creating unexpected financial pressures						
Risk	Risk Owners		Current Score		Last Review	Next Review
5			6	6	07/01/2021	
4			6	6	07/04/2021	
3			6	6		
2						
1						
	1	2	3	4	5	
	Consequence					
	Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
	<p>1. Ineffective project management governance framework.</p> <p>2. Failure to comply with project management procedures.</p> <p>3. Capacity of organisation and capacity of colleagues.</p> <p>4. Poor quality business cases leading to unsubstantiated decisions</p> <p>5. Scope creep.</p> <p>9. Not building in project management into regular performance management structures e.g. appraisal, supervision etc.</p> <p>10. Changing original decision to proceed rather than halting projects and starting</p> <p>11. Lack of project management teams.</p> <p>12. Too many new projects being commissioned, especially in the context of COVID-19 (both response and recovery phases).</p>		<p>Capacity diverted into other priorities (inc Covid19)</p> <p>Lack of corporate grip</p> <p>Changing priorities within organisation and partnerships</p>		<p>1. Robust project management in place.</p> <p>2. Project risk register.</p> <p>3. Financial overspends</p> <p>4. Delays</p> <p>5. Poor quality of delivery</p> <p>6. Reputational damage</p> <p>7. Wasted resources</p>	

Controls	Adequacy	Critical Success
Communication plans	Good	
Corporate portfolio board and performance management framework	Good	
Detailed financial monitoring	Good	
Financial monitoring – particularly capital	Good	
Open dialogue with The Leader and Cabinet Members on the capacity to start new projects	Good	
Performance management framework	Good	
Project risk register	Good	
Regular political engagement	Good	
Workforce development plan	Good	

Action Plans	Responsibility	Target Date
Continue to develop skills set of project managers through training, networking and so on	Michael Bracey	31/03/2021
This is ongoing and subject to C19 pressures. Support to project managers is in place and continues within that environment.		
Detailed financial monitoring	Steve Richardson	31/03/2021
This continues within the routine financial monitoring and also the increased focus from Covid19. Projects themselves are impacted by C19 but not the financial monitoring when		
Strengthen corporate project boards impacted by C19 but existing controls remain operational and prioritised within any competing pressures	Michael Bracey	31/03/2021