

CORPORATE RISK REGISTER

RISK MATRIX - STRATEGIC PROFILE FOR JANUARY 2018

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

Likelihood ↑

Impact →

Likelihood:

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

Impact:

- I Catastrophic (Showstopper)
- II Critical
- III Marginal
- IV Negligible

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SR 03b	Finances	Owner	Chief Finance Officer	Leader's Portfolio	Current Risk Score	A	I	Reviewed	Jan 2018
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger		Consequences				
<p>There continues to be a major risk over the Council's ability to deliver a balanced budget, whilst at the same time delivering good quality services to the people of Medway. The move away from central support from Government and greater reliance on local taxation through council tax and retained business rates, whilst providing local authorities with the opportunity to benefit directly from growth, also brings with it significant risks to overall funding. Continuing pressure in the area of social care, particularly in relation to children and younger people with disabilities, has exacerbated the financial difficulties facing the Council.</p>			<p>The provisional settlement announced on 15 December 2016 20 December 2017 impacted on Medway Council in two main ways. Firstly was the 1% increase in the council tax referendum limit. Second was the announcement that Medway and Kent had been accepted as a pilot for 100% business rate retention. Both of these developments are positive for the Council's finances, but represent the continued move towards greater reliance on locally generated taxes and the inherent risks that brings. was the first since the Council signed up for a four year funding settlement, giving greater financial certainty through to 2019-20. However the inherent uncertainty around funding based on locally raised tax, is made even more uncertain following the general election. The implications of this are that the move to 100% business rate retention has been put on hold, whilst the grant settlement only covers the period to 2019/20.</p>		<input type="checkbox"/> Very difficult decisions around funding allocation <input type="checkbox"/> Service cuts <input type="checkbox"/> Quality of service compromised. <input type="checkbox"/> Cutback in staffing on an already lean organisation <input type="checkbox"/> VFM Judgement <input type="checkbox"/> Negative local publicity <input type="checkbox"/> Damage to reputation				

Code	Description	Managed By	Desired Outcome	Output	Milestones/Pis	Monitoring
SR 03b.01	Need to ensure effective response to the spending review, but also lobbying for greater local powers to raise revenues.	Chief Finance Officer	Co-ordinate responses with members, brief MPs, agree media campaign, solicit support from peer authorities/partnerships.	VFM Judgement - adequacy of financial planning, effective budget control. Increased devolution of tax raising powers to the Council.	On-going	Six monthly
SR 03b.02	Align priorities and activity of the Council to resource availability through MTFPS process.	Corporate Management Team	Robust financial planning and management, ensuring financial risks are highlighted and managed effectively. Identification and delivery of savings initiatives. Co-ordinate responses with members, agree media campaign, solicit support	Balanced budget with resources aligned to priorities, delivery of value for money and financial savings to ensure financial sustainability in the medium-term. Unqualified VFM Judgement - adequacy of financial planning, effective budget control, balanced budget and adequacy of reserves.	Medium Term Financial Plan Strategy in September. Capital and Revenue budget agreed by Council in February	Quarterly budget monitoring

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

Progress Update – January 2018

SR03 b.01: An unqualified audit opinion including positive VFM conclusion was received in respect of 2016/17 accounts. Officers have responded to recent consultations both on behalf of Medway and as part of collective submissions with other local authorities across the South East and indeed the Government have responded to lobbying for greater flexibility by raising the referendum limit.

SR 03b.02: The Council's new Medium Term Financial Strategy was presented to Cabinet in September 2017. The provisional local government settlement for 2018/19 enabled council tax to be raised by additional 1% (c£1m if the council avails itself of the opportunity to do so), also announced Medway and Kent successful in bid to pilot 100% Business Rates Retention scheme which could enable Medway to retain 100% of business rates growth in 2018/19.

SR 03b.03: The new Treasury Management Strategy was agreed by Full Council on 22 February 2018. In addition to c£23m invested in managed property funds, the strategy also includes the planned direct property investment of £20m, incorporated in the Capital Programme.

SR 03b.04: The Council are on track to deliver the 2017/18 digital transformation savings target, and good progress has been made in formulating plans to deliver to identify the savings required for 2018/19.

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SR 26	Children's Services	Owner	Director of Children and Adults	Children's Services Portfolio	Current Risk Score	B	II	Reviewed	Jan 2018
Link to Corporate Priority		Supporting Medway's People to Realise Their Potential							
Vulnerability			Trigger		Consequences				
<p>A high level of historical demand for services for children in need, including the need for protection and looked after children puts pressure on the Council's resources.</p> <p>Expectations by Regulator in relation to standard of care and provision provided across a range of services.</p> <p>Challenges in recruiting to key posts would impact on the Council's ability to deliver good quality and consistent practice.</p> <p>Improvements to Children's Safeguarding and Early Help services will continue to require corporate support and there is a risk that a lack of organisational capacity and resilience may slow progress.</p>			<p>Numbers of children in care and those with high level child protection needs do not reduce or a high level of complex needs requires specialist resources.</p> <p>Managing high caseloads impact on quality of work being undertaken with children in need, including the need for protection and looked after children.</p> <p>Partner agencies failing to identify families that need targeted support through the early help outcomes framework.</p>		<ul style="list-style-type: none"> - Budget pressures with consequences across the Council. - Limits ability to divert resources to early help which ultimately must be part of the solution to increasing numbers of looked after children and preventing children and young people from becoming subject to child protection plans. - and Poorer outcomes for children young people. - Impact on statutory responsibilities and regulatory judgement. - Excessively high caseloads 				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring			
SR 26.01	Recruitment & retention & workforce development strategy for children's social workers implemented.	Children's Service (DD); Human Resources Service Team	Well trained & supported workforce.	Permanent staff numbers.	As per strategy and plan.	Reviewed bi monthly via Medway Safeguarding Children's Board (MSCB). Council Plan monitoring, CADMT and the Medway Children and Young People's Transformation and Improvement Board. Promoting Practice plan to address risks and progress relating to recruitment and retention.			
SR 26.02	Together We Can –Strategy has been implemented in response to Ofsted recommendations to	Children's Service (DD)	Improved outcomes for vulnerable children.	-Improved educational outcomes for LAC Reduction in timescale between placement order and moving in with adoptive family	Educational outcomes LAC. Reduce delays in care proceedings. Percentage of families who	CSMT, Council Plan monitoring, CADMT, Medway Children and Young People's			

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Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
	strengthen quality of practice.			Effectiveness of early help	have had a CAF/Early help Assessment, who have achieved desired outcomes at end of their intervention.	Transformation and Improvement Board & Corporate Parenting Board and MSCB Promoting Practice meetings have been established to take place fortnightly from January 2018
SR 26.04	Implementation of the Children's Services Quality Assurance Framework	Director for Children and Adults	Good quality and consistent practice.	Learning and thematic Audits and other quality assurance tasks are completed as per the QA framework.	The learning points from completed auditing activity are aggregated so as to inform learning.	Reviewed bi monthly in line with QA framework schedule
SR 26.05	Strengthen MSCB.	Director of Children and Adults	Strengthened partnership arrangements for supporting vulnerable children.	Stronger focus on core business.	Multi agency attendance at CP conferences.	CADMT & MSCB
SR 26.06	Implementation of projects to better manage demand around edge of care and early help, including strengthening support to parents at home.	Commissioning, Business & Intelligence (AD), Children's Services (DD)	Safely reduce C&YP entering and staying in the care system.	Edge of care response. Early help.	Reduced demand for CSC services.	Council plan monitoring CSMT, CADMT, MSCB and the Medway Children' and Young People's Transformation and Improvement Board
SR 26.07	Troubled Families programme funded by DCLG	Deputy Director for C & A (DD)	Turnaround 2060 families by the year 2020 meeting the governments outcome framework To achieve payment by results	Use the Transformation Grant to effectively transform service delivery Improved outcomes for Children and Families	Each window to achieve a percentage for payment by results Ensure the momentum of the programme achieves the upfront fee and transformation grant	DMT quarterly CMT annually

Progress Update – January 2018

SR26.01: Recruitment and retention of permanent staff has remained an issue, with current agency social workers filling around 40% of posts at present. A was taken to the Delivery Board in December agreeing new terms and conditions for social workers to support recruitment and retention of permanent workforce. Though a partnership with the Centre for Systemic Social work, a range of training has been delivered to social workers and managers in strengths-based (client led) social care practice to aid recruitment and retention. A programme of leadership training is planned for social work Team Managers during 2018.

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SR26.02: The Council's Public Health Service are delivering safe-guarding training courses on behalf of the MSCB.

SR26.04: Monthly and thematic audits of casework have been undertaken; the finding of these have been themed and will support our self-evaluation and 'Promoting Practice' action planning.

SR 26.06: There has been a reduction of young people entries into the care system. Further strengthening of the early help offer will provide resilience to families, with the offer having been reconfigured around the 4 Early Help Hubs and brought under one Service Manager. However, there is still a risk of complexity of needs increasing which will ultimately increase demand for services.

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SR 09b	Keeping vulnerable young people safe and on track	Owner	Director of Children and Adults	Children's Services (Lead Member) Portfolio Educational Attainment and Improvement Portfolio	Current Risk Score	B	II	Reviewed	Jan 2018
Link to Corporate Priority		Supporting Medway's People to Realise Their Potential							
Vulnerability			Trigger		Consequences				
Changes in the demographics and in the legislative requirements affect SEN and YOT.			The Council is unable to address these issues with cost effective, innovative solutions.		<input type="checkbox"/> Poorer outcomes for children and young people. <input type="checkbox"/> Budget pressures with consequences across the Council. <input type="checkbox"/> Impact on statutory responsibilities and regulatory judgement.				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring			
SR 09b.04	The additional demands of the SEND reforms and increase in the number of children with complex needs and those excluded from school place significant pressures on the DSG High Needs Block	Children's Services (DD)/Commissioning, Business and Intelligence (AD)	<p>Improved outcomes for C&YP as per SEN strategy.</p> <p>Ensuring service delivered within budgetary constraints.</p>	<p>Good management information to inform commissioning and robust challenge.</p> <p>Provision made within budget. SEN Strategy developed and implemented.</p> <p>Joint SEND Improvement Action Plan to be developed with CCG.</p> <p>Need strategy for pupils excluded and those at risk of exclusion.</p> <p>Early Help/Intervention services needs to be designed and implemented.</p>	<p>Less out of area SEN placements; more children being educated in mainstream schools with outreach; Increased local specialist provision.</p> <p>Fewer exclusions fixed term and permanent.</p>	<p>SEN data is reviewed quarterly.</p> <p>Exclusions data is reviewed quarterly</p>			
SR 09b.05	Ensure practitioners are equipped to be compliant with any changes in the Youth Justice system and that monitoring systems are in place to track this.	Children's Services (DD)/Commissioning, Business and Intelligence (AD)	<p>- Lower numbers of first and repeat entrants to the YJS. - Lower number of custodial and repeat custodial sentences. - Effective analysis of data to inform practitioners input. - Ensuring service delivered within budgetary constraints. - Magistrates have confidence in interventions. Suitable placements are developed for vulnerable children which keep them safe and</p>	Performance is monitored monthly (proxy figures) and quarterly (YJB information). YOT Board meets quarterly to oversee provision, steer development and monitor progress.	Grant provided by MoJ for developing alternatives to custodial remand is used effectively for innovative support and budget not exceeded by custody bill.	YOT Board meets quarterly to oversee provision, steer development and monitor progress			

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Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
			enable magistrates to impose an order as an alternative to secure remand.			
SR 09b.06	<p>A comprehensive strategy in place to ensure that partner agencies work cooperatively to identify and deal with CYP who are identified as, or at risk of becoming, victims or perpetrators of CSE and missing.</p> <p>All professionals, voluntary groups and the wider community including hard to reach groups are aware of, and have an understanding of CSE and missing.</p> <p>Implement findings of review of CSE unit.</p>	Interim Director Children & Adults	<p>- Ensure that we have a comprehensive strategy in place for CSE and missing.</p> <p>- All professionals working directly with CYP have an understanding and knowledge of CSE and missing; and develop appropriate skills.</p> <p>- Increase the awareness and understanding of CSE and missing by all professionals, voluntary groups, wider community including hard to reach groups.</p> <p>Improvement of identification, prevention, support disruption and prosecutions</p> <p>Development of a reliable multi-agency data set.</p>	<p>Comprehensive joint K & M LSCB strategy for CSE has been signed by the MSCB and missing protocols in place via CSC</p> <p>Multi agency and single agency approved consistent training is completed by all staff.</p> <p>All child protection courses make direct reference to CSE and missing</p> <p>Awareness raising campaign agreed and implemented.</p>	<p>The K & M CSE strategy has been reviewed and recommendations operationalised.</p> <p>Any review will be signed by the MSCB in the forward plan</p> <p>All relevant staff complete available CSE training.</p> <p>Case management systems capable of recording CSE cases.</p> <p>Analysis and identification of victims through data analyst within CSE Unit; social work pathways for identified victims; themes and early identification to safeguard young people in Medway</p>	<p>Kent & Medway CSE Subgroup MSCB MASE Panel (Strategic)</p> <p>MSCB/Workforce development</p> <p>B & I /CSE AD</p> <p>MSCB MASE</p>
SR 09b.07	<p>A comprehensive strategy in place to ensure that partner agencies cooperate to identify and deal with CYP who are identified as, or at risk of becoming, victims or perpetrators of CSE, missing, have been radicalised or are at risk of radicalisation.</p> <p>Other professionals and community groups have an understanding and an awareness of the</p>		<p>An area wide group – Community Safety Partnership, Medway YOT Board and MSCB - co-ordinates and monitors Prevent work.</p> <p>Vulnerable young people are safeguarded and risks to the community are minimalized</p> <p>Medway agencies share information on vulnerable</p>	<p>Child Protection courses cover the risk of radicalisation</p> <p>Community groups are offered training to raise awareness of the Prevent agenda and to identify young people who might be at risk of radicalisation.</p>	<p>- From January 2017</p> <p>- From January 2017</p>	<p>MSCB</p> <p>MSCB</p>

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	Governments Prevent agenda		young people at risk of radicalisation.			
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Progress Update – January 2018

SR 09b.04: The Council was subject to an SEND inspection in December 2017 with the final report published in February 2018. As a result of feedback in the report, the Business & Intelligence Team have recommended a performance forum will be created to ensure effective and regular monitoring of the service is carried out.

SR 09b.04: The SEND inspection highlighted strengths and areas of improvements from which a clear action plan is being devised. In addition, the Joint Agency Panel will provide scrutiny to the High Needs Block; however continuing pressures mean that there is a financial risk that the DSG High Needs Block will be overspent.

SR 09b.06: The Council's Public Health Service are delivering education on Child Sexual Exploitation risk as part of the Personal, Social and Health Education (PSHE) programme.

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SR 25	Adult Social Care Transformation	Owner	Director of Children and Adults	Adult Services Portfolio	Current Risk Score	B	II	Reviewed	Jan 2018
Link to Corporate Priority		Supporting Medway's People to Realise Their Potential							
Vulnerability			Trigger		Consequences				
<p>The local population of older people and disabled adults is increasing significantly - Joint Strategic Needs Analysis, POPPI and PANSI intelligence.</p> <p>The ambition of the Integrated Better Care Fund (IBCF) for 17/18 is to describe Medway's potential for reduction of delayed transfers of care to be no more than 3.5%</p> <p>The achievement of these ambitions represents a significant challenge to the local authority and our health partners (The Council only controls a small proportion of the system, alongside the CCG and Medway Foundation Trust). The development and delivery of the Kent and Medway Sustainability and Transformation Plan may have an impact on our ability to ensure better out of hospital care and improved integration.</p> <p>There continues to be pressure on the social care market both in terms of the numbers of hospital discharges and the ability of domiciliary care providers to recruit.</p> <p>There is a risk that the changes needed across the system will take longer to implement than our current ambitions state. The transformation of Adult Social Care will continue to require corporate support and there is a risk that a lack of organisational capacity and resilience may slow progress.</p> <p>The implementation of the Care Act Changes to financial regulations in 2010 and the implementation of the Universal Credit/ ESA and Housing Benefit pose a substantial risk on the client income reduced.</p> <p>Providers are facing a number of financial pressures which have the potential to impact on the cost of care packages, including, the impact of sleeps in charges, national minimum living wage increases and other inflationary pressures. In addition the national transforming care programme will place pressures on the local authority as a result of the requirement for us to secure and fund local provision.</p>			<p>Demographic impact.</p> <p>There are national ambitions for further integration by 2020.</p> <p>The implementation of the STP across Kent and Medway, and the development of an Accountable care Organisation needs to be understood and led locally.</p> <p>Whilst the overall national ambition for integration remains same, the priorities and timescales for delivery within that overall ambition may shift at a national level. Uncertainty around national policy and budget in relation to integration/NHS/Council.</p> <p>Capacity planning for local care must incorporate Social care and preventative services</p> <p>Development of retail expansion across the Borough means that staff from social Care are attracted to this industry as the rates of pay are more competitive The length of stay in residential and nursing care homes is extended</p>		<p>Potentially significant increase in spend on Adult Social Care.</p> <p>Potential impact on ASC resources.</p> <p>Potential risk around supporting wider health economy.</p> <p>Inability to meet demand placed on social care through changes to primary care and secondary care MICES as the number of discharges from hospital rises there remains increased pressure on the community equipment service, which is a pooled budget, and overspent by £500k in 16/17.</p> <p>Reduction of capacity in domiciliary care market Fee Increases (commissioned Care and Direct payment rates</p> <p>Reduction of capacity in residential and nursing homes Transition clients from Children/ SEN Residential placements Level of Savings Achieved through Getting Better Together programme lower than budgeted</p>				

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Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 25.01	<p>Micro Commissioning Project</p> <p>Commissioning sufficient capacity and a suitably wide range of services to meet need.</p> <p>Prevention, including technology enabled care services, early help and short term services to maximise independence.</p> <p>Close management oversight, and action as required, to manage the budget. Short term management actions are being taken to reduce any overspend.</p>	Interim AD Adults Social Care /Commissioning, Business & Intelligence AD	<p>Best outcomes for people (as per their support plans) and best value for the Local Authority as statutory body and commissioner.</p> <p>A safe and stable local sector of providers that can meet our local needs and provide high quality care and support to older people, disabled adults and carers.</p>	<p>All clients are offered Personal Budgets/Direct Payments.</p> <p>Joint strategies and commissioning plans with NHS.</p> <p>The Provider Forum engages the sector and assists us to work in partnership in a meaningful and effective way.</p> <p>ASC Strategy and associated key projects.</p> <p>Monthly scrutiny of budgets at AMT and audits of practice and Personal Budgets/Direct Payments. Management action as required.</p>	<p>Personal Budgets performance as per KPI.</p> <p>Category Management project on high cost placements.</p> <p>End of year spend within budget.</p> <p>Programme developed and underway. Dynamic Purchasing System.</p> <p>Increase the number and effectiveness of reviews.</p> <p>Reduction in delayed transfers of care</p>	<p>Monthly.</p> <p>As per star chamber and procurement forward plan.</p> <p>Monthly at AMT and quarterly at CADMT.</p> <p>Adult Social Care Improvement Board.</p> <p>Gateway process as per procurement forward plan.</p>
SR 25.02	<p>Deprivation of Liberty Safeguards (DoLS) post Cheshire West judgement, resulted in a rapid increase in the number of applications for DoLS, challenging several parts of the system – administration, Best Interest Assessors, Advocacy services.</p> <p>Risk of legal challenge and breaching statutory timeframes.</p>	Director Children & Adults	<p>People in receipt of Health and Social Care Support are not deprived of their liberty illegally.</p>	<p>DoLS applications to Medway as a Supervisory Body are processed and assessments carried out within timeframes.</p> <p>DoLS process is digitalised to create efficiencies</p> <p>Increase in training for BIA's. Expend the number of senior officers to act as authorisers</p>	<p>Reduction in the number of DoLS cases awaiting authorisation</p>	<p>Breaches monitored weekly.</p> <p>Updates to AMT.</p> <p>DoLS Review Group report to CADMT.</p> <p>DH Quarterly monitoring report.</p> <p>DH annual statutory return.</p>
SR 25.04	To work with Health colleagues to develop a vision for integration at a Medway level. To identify what the Accountable care	Interim AD Adult Social Care /Commissioning, Business & Intelligence AD	To describe Medway's potential for integration by nationally set timeframes	Working closely with Health partners and voluntary sector to agree what the local care offer will be. Involvement in STP Boards to ensure the LA gets a Voice.	To be able to define what the local Care offer will be from April 2017. Involvement in public Consultation Summer 2017	Joint Commissioning Management Group (JCMG) and Health and Wellbeing Board

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	organisation will look like. Agree how the IBCF funding will be used to meet the strategic objectives as set out by the DOH and DCLG					
SR 25.05	To review the intermediate care, MICES, rapid response and discharge arrangements to ensure that additional pressure is not put on the ASC budgets	Assistant Director, Commissioning, Business & Intelligence	Efficiencies are achieved across ASC as well as health	Delivery of Integrated Commissioning activity.	New intermediate care service in place from 1st October. Reduction in number of intermediate care beds. Reduction in delayed transfers of care	CADMT and JCMG

Progress Update – January 2018

SR 25.01:

- The three conversations approach, which aims to prevent, delay and reduce needs has been successfully piloted and is being rolled out across the service.
- A project to establish an Access to Resources team to manage all placement finding activity, to ensure greater consistency of approach, and to ensure best value outcomes and timely discharges from acute settings has been completed.
- A best practice panel, which is chaired by the Assistant Director Adult Social Care meets weekly to agree all packages of care with a weekly cost of over £400, to ensure close management oversight of key placement decisions.
- A long term care and accommodation strategy is being developed to ensure that we develop the right type of provision to meet needs.
- There has been a sustained increase in the number of people receiving Direct Payments although this remains below our target. The rise is in the % of clients receiving ongoing long term care with an ongoing DP. This has moved from 27.1% in June to 28.6% in November, rising incrementally each month.
- Targeted review activity is underway for people receiving low value packages of care in an effort to identify alternative ways to support people to maximize their independence, including through the use of technology.
- An options appraisal for the recommissioning of homecare provision has been completed and a business case is being developed.

SR 25.02: Additional authorisers have been trained and this is having a positive impact on the number of outstanding authorisations, which have reduced from a peak of 131 at the end of October to 86 by 14th of November. A review of the DOLs processes is planned for the New Year. Six members of staff are being supported to undertake BIA training in 2018, which will support the completion of more timely assessments.

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SR 25.04: The Adult Social Care teams have been re-organised into locality teams, in line with the Medway Model, and this will support closer working with community health services in the future. Plans for further integration are being taken forward through the STP local care arrangements.

SR 25.05: Plans for further integration are being taken forward through the STP local care arrangements. Delayed Transfers of Care are within the agreed target and the impact on social care and equipment service is being monitored. The Transforming Care Programme is an emerging risk as significant facets of this remain unresolved at national, regional and local levels. A series of “tests” are in place to inform micro-commissioning and changes to Intermediate Care and Reablement provision (in place for April 2018) to provide greater efficiencies across the health and social care system. Management actions in place to ensure MICEs remains within budget.

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SR 27	Government changes to Local Authority's responsibility for schools	Owner	Director of Children and Adults	Children's Services (Lead Member) Portfolio Educational Attainment and Improvement Portfolio	Current Risk Score	C	II	Reviewed	Jan 2018
Link to Corporate Priority		Supporting Medway's People to Realise Their Potential							
Vulnerability			Trigger		Consequences				
Councils are accountable for the outcome of performance of all schools but have reduced levers to drive action and change. In academies the only lever is to refer the school to the Regional Schools Commissioner. In maintained schools, poor inspection judgements or coasting schools are expected to be subject to intervention by the Regional Schools Commissioner.			A failing OFSTED inspection for a maintained school for which the Council has a statutory responsibility or a coasting judgement on the basis of pupil progress.		<ul style="list-style-type: none"> - Impact on children and families of being in a school that fails to provide quality provision. - Performance ratings as measured through Ofsted reports and Performance tables impact on parental and community confidence. - Financial consequences. - The DfE will expect that the school becomes a sponsored academy with further financial consequences to Medway including an expectation that the LA pays the legal costs for the transfer and writes off deficits. - Damage to reputation. - Impact on statutory responsibilities and regulatory judgement. - Progress and progression for children & young people are impacted negatively. 				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs			Monitoring	
SR 27. 01	Analysis of school data is used to agree a school partnership rating so that appropriate support can be put in place. Analysis of academy data is used to refer an academy to the regional Schools Commissioner	Children's Services (DD)	Schools results in line with or exceed nationally expected progress measures.	<ul style="list-style-type: none"> - School Challenge and Improvement Team support schools to identify actions needed to improve pupil progress. - Data shows progress to be in line with similar schools nationally and then to be in upper quartile. - Implementation of School Improvement Strategy. 	<ul style="list-style-type: none"> - Number of schools below floor threshold reduces - Number of schools in an OFSTED category reduces and remains low. - Number of coasting schools is low 			<p>RAMP meetings with head and Chair of Governors.</p> <p>CADMT performance reports.</p> <p>Council Plan monitoring.</p>	

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SR 27.02	The proportion of schools in Medway with an OFSTED judgement requires improvement (3) is currently higher than national; and the proportion of schools with good and outstanding judgements is currently lower than national.	Children's Services (DD)	Schools move up from requires improvement to Good and from Good to Outstanding.	<ul style="list-style-type: none"> - Core SCI training developed and delivered in a targeted way. - OFSTED preparation in place for Senior Leadership Team (SLT) and Governors. - NLES and LLEs linked to schools to give additional experience to draw on for delivering good and better practice. - Work closely with the teaching school alliances to develop leadership and improve the quality of teaching across subject areas. 	OFSTED judgements place more schools in the Good or Outstanding categories.	<p>SCI team meetings.</p> <p>OFSTED liaison and monitoring.</p> <p>CADMT performance reports.</p> <p>Council Plan monitoring.</p>
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Progress Update – January 2018

SR27.01: The School Challenge and Improvement Team continue to support schools in identifying actions needed to improve pupil progress. Overall the result for the 2016-17 academic year makes good progress on the measure with 58% of Medway children having achieved the required standard or above in the aggregated Reading, Writing and mathematics measure (RWM) at KS2. Medway has closed the gap to national average by about a third, climbing 8 places in the LA rankings compared to 2016 and is now ranked 115th. Of our secondary schools, 4 of 17 inspected are outstanding, 10 are good and 3 require improvement, an improvement on last year.

With regard to primary schools, graded good or better has dropped compared to Q2. In Q2 there were 7 Outstanding and 55 Good schools. At the end of Q3 there were 8 Outstanding and 53 Good schools. This means the 85% target is being missed by 1.4 percentage points. There are now 12 schools graded below good, compared to 11 at the end of Q2. 90.6% of LA maintained schools with are good or better, with 4 Outstanding and 25 Good. This compares to 78% of academies that are Good or better (4 Outstanding and 28 Good). Nationally 90.4% of Primary schools are rated Good or Better.

Medway continues to maintain a high percentage of special schools in Medway judged to be good or better with 3 schools remaining outstanding, 1 good and 1 inadequate.

SR27.02: Significant work is being done with the single maintained school that is below the standard expected. Where schools are academies Medway has an obligation to scrutinise and hold providers accountable. We are submitting applications for funding from the Sub-Regional School Improvement Fund to support work with secondary schools at Key Stage 4 with respect to disadvantaged groups (a regional priority). A new School Improvement Strategy for 2017-2019 has been drafted and will start moving through the Council's governance in the next period.

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The project involving NLES and LLEs linked to schools was a focus in 2016/17 and continues to form part of the School Improvement offer for Medway Council.

OFSTED preparation continues to be in place for both the Council as well as support to currently maintained schools. The team continue to maintain the Council's remit to monitor the performance of all Medway schools which includes both maintained and multi-academy trusts to support their school improvement strategy. We are developing strong relationships with all schools to monitor the effectiveness of their school improvement strategy. There is good evidence that well-nourished children perform better in school. Public Health is working with colleagues and school catering contractors to improve the quality of school meals.

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SR 17	Delivering regeneration	Owner	Director of Regeneration, Culture, Environment & Transformation	Inward investment, strategic regeneration and partnerships Portfolio	Current Risk Score	C	II	Reviewed	Jan 2018
Link to Corporate Priority		Maximise Regeneration and Economic Growth							
Vulnerability			Trigger		Consequences				
<p>Medway's regeneration plans to regenerate the area with 50,000 people to Medway up to 20,000 jobs and 29,000 new homes in the next 20 plus years.</p> <p>There are challenges for the provision and maintenance of effective infrastructure. Particular areas of concern are flood protection, highways and water capacity.</p> <p>It is vital the benefits are felt by the population of Medway, so that the new jobs are not filled by only people from outside the area.</p> <p>Economic uncertainty could delay regeneration and growth, impacting on strategic decisions and inward investment.</p>			<p>The Council fails to achieve the economic, social and infrastructure regeneration agenda.</p> <p>House/property building companies start to delay developments.</p> <p>Potential lack of companies wanting to locate in Medway.</p>		<p><input type="checkbox"/> Regeneration projects not completed.</p> <p><input type="checkbox"/> Potential damage to Council's reputation.</p> <p><input type="checkbox"/> Not able to meet member, government and the public's expectations.</p> <p><input type="checkbox"/> Deteriorating physical and infrastructure assets.</p> <p><input type="checkbox"/> Investment wasted.</p> <p><input type="checkbox"/> Young people are not catered for in the 'new world'.</p> <p><input type="checkbox"/> Low skills base among some residents remains.</p> <p><input type="checkbox"/> Disconnect between skills and employment opportunities.</p> <p><input type="checkbox"/> Maintenance of low aspiration culture.</p> <p><input type="checkbox"/> Increased commuting and pressure on transportation.</p> <p><input type="checkbox"/> Negative impact on community cohesion.</p>				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring			
SR 17.01	Outline infrastructure needs identified.	Director of Regeneration, Culture, Environment & Transformation	Identification of inward investment priorities.	Progressing key regeneration sites and infrastructure plan jointly with KCC.	- Generation of funds to carry out the work and investors confidence; - 20 year development programme.	Quarterly			
SR 17.02	Homes and Communities Agency (HCA) alerted to the impact of lack of funding and dialogue opened with External Partners.	Director of Regeneration, Culture, Environment & Transformation	HCA confirm any funding commitment to projects and plans for HCA sites	Funding identified to continue regeneration.	Regeneration projects agreed with Members.	Quarterly			
SR 17.04	Regular meetings with stakeholders including developers to lever in external funding and bring forward transformational programmes.	Director of Regeneration, Culture, Environment & Transformation	External financial arrangements to fund transformational programmes and deliver plans that are implemented on time and to budget.	Investors come forward for regeneration sites.	As detailed in individual delivery plans.	Quarterly			

CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 17.05	Working with the Local Enterprise Partnership to attract funds to Medway.	Director of Regeneration, Culture, Environment & Transformation	External financial arrangements to fund transformational programmes and deliver plans that are implemented on time and to budget. Create and protect long-term jobs in the private sector, and programmes which will deliver sustainable jobs.	<u>Growing Places Fund (GPF):</u> £4.4m Rochester Riverside; £2.99m Chatham Waterfront. £4m for Strood Flood Defences £29m Local Growth Funding from the Local Enterprise Partnership.	As detailed in individual delivery plans.	Quarterly
SR17.06	Working towards the adoption of the new Medway Local Plan	Director of Regeneration, Culture, Environment & Transformation	New Local Plan and Planning Policy Guidance adopted	To complete the development of the Local Plan and Planning Policy Guidance as outlined in the Local Development Scheme published January 2018	<ul style="list-style-type: none"> • Development Strategy consultation March-May 2018 • Publication of Draft plan for consultation November-December 2018 • Submission of plan for Examination March 2019 • Anticipated adoption (subject to outcome of Examination) 2020 	Development Plans Advisory Group Meetings
SR17.07	To seek additional external funding opportunities	Assistant Director Physical and Cultural Regeneration	Ensuring Medway's Regeneration programme is delivered.	Additional funding streams identified and secured.	<ul style="list-style-type: none"> • To seek funding opportunities to develop innovative public service solutions • Facilitating the delivery of the Inward Investment Strategy by March 2017 • Encouraging the delivery of homes through investigation of new financial models and release of Council owned sites. 	Council Plan Qtr monitoring

Progress Update – January 2018

SR 17.01: The Council has established a Strategic Infrastructure Task Force to work alongside the emerging Local Plan and wider work such as the Kent and Medway Growth and Infrastructure Framework. The emerging findings and the Local Plan once adopted will be used to provide a strategic case for future funding opportunities, and was used recently in the for the Housing Infrastructure Fund (HIF). Key regeneration sites

CORPORATE RISK REGISTER

such Rochester Riverside and Strood Waterfront are progressing as planned with a developer appointed and starting works in Rochester and flood defence works for Strood beginning early 2018.

SR 17.02: HCA were a key contributor to the Council's HIF bid and were supportive of our submission, and along with the Leader, senior Members and officers, continue to lobby central government for approval to the next stage. There is a dedicated external funding resource within Regeneration Delivery and an External Investment Working Group with a cross service attendance; the group identify funding opportunities and prioritise bids based on Member and strategic priorities. Key regeneration projects such as Rochester Riverside, Chatham Placemaking and Strood Waterfront have been agreed with Members and are overseen by the relevant Cabinet Advisory Groups who meet regularly through the year.

SR 17.04: There are a number of stakeholder events and meetings held to capture investment in addition to the External Investment Working Group. This includes Locate in Kent (LiK) who have an SLA with Medway to locate businesses in Medway and Medway1 launches; the Council's regeneration magazine published each year and launched with a specific development opportunity for inward investment to developers and potential investors.

SR 17.06: The Planning Service has been assessing potential sites to form preferred options on development allocations in the next stage of consultation on the Local Plan. Work continues on compiling the evidence base to support the proposed development strategy and supporting policies. An updated programme for producing the Local Plan is set out in the Local Development Scheme 2018. Consultation is planned on the next stage of the Local Plan from March 2018. Working with the planning policy team Public Health is developing new policies within the developing local plan to reduce health inequalities.

SR17.07: The Council successfully secured £150,000 from One Public Estate to fund feasibility works at Britton Farm site Gillingham, old Police station Chatham and land disposal of parts of the Medway Hospital site, this could lead to privately funded redevelopment creating 152 homes and 383 jobs. New inward investments have been secured with Pacadar now located at Thamesport (manufacturing, creating 100 jobs over the next year) and Fiscale at the Innovation Centre (an accountancy company). The Council's Housing Company, the Medway Development Company Limited has been established, a Head of Operations appointed and Board Members appointed. The company will deliver approximately 600 units over 5 years and will improve the number of affordable homes available in Medway. Architects have been appointed to undertake a third phase of HRA new build direct housing and officers have identified a number of other HRA sites with potential for development.

APPENDIX B

SR 21	Procurement savings – capacity and delivery	Owner	Chief Legal Officer	Resources Portfolio	Current Risk Score	C	II	Reviewed	Jan 2018
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger		Consequences				
<p>Inability to continue identifying contract and commissioning savings.</p> <p>Agreed contract and commissioning savings identified in the budget are not delivered.</p> <p>Insufficient capacity to deliver savings to the agreed timetable</p>			<ul style="list-style-type: none"> - Budget pressures - Audit reviews reveal weaknesses. - Market inflationary pressure on prices 		<ul style="list-style-type: none"> - Council does not achieve value for money. - Damage to reputation. - Increased costs of purchasing services. - Not achieving cost efficiencies. - Overspend on budget allocation. - Failing to achieve Members’ expectations. 				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring			
SR 21.01	Cabinet and Corporate Management Team joint review of agreed budget savings and timetable	Chief Finance Office Chief Legal Officer	To deliver budget savings to an agreed timetable	Budget quarterly monitoring	Budget out-turn	Regular			
SR 21.02	Member chaired Procurement Board which meets regularly	Chief Finance Officer Chief Legal Officer & Category Management team	Timely delivery of procurement ensuring mobilisation of contracts and delivery of savings	Procurement Board governance reports Forward Procurement Plans Commissioning team plans	Budget savings	Regular			
SR 21.03	Regular updates to Leader and other relevant Portfolio Holders	Chief Finance Officer Chief Legal Officer Partnership Commissioning (AD)	Predicted savings that are sensible and achievable and the ability to take alternative action if under performance occurs.	Regular savings reports to the Portfolio Holder and to the Finance team.	Due to be monitored throughout 2016/17.	Regular			
SR 21.04	Good liaison between Category Management team and Joint Commissioning team and other Council teams	Chief Legal Officer Partnership Commissioning (AD)	Good regular engagement with teams. Regular discussions about performance and savings.	Procurement Board reports Procurement Board governance report Updates to Cabinet/CMT Agreed programme of commissioning procurements	Due to be monitored throughout 2016/17.	Regular			
SR21.05	Good liaison with suppliers to continue to identify realistic savings.	Chief Legal Officer Partnership Commissioning (AD)	Good regular engagement with suppliers. Regular discussions about performance and savings.	Contract management data	On-going	Regular			

Progress Update – January 2018

SR21.01 & SR21.03: Quarterly financial monitoring including monitoring of the delivery of proposed budget savings has taken place through Corporate Management Team and Cabinet, with significant focus on this in one to one meetings across management in addition to this formal process.

SR21.01: Reports to the Procurement Board specify the value of revenue savings made on each specific procurement exercise, and are reported to the council's Finance Team to confirm in advance of formal meetings.

SR21.04: The December meeting of the Procurement Board was presented with good examples of joint working between Category Management and Commissioning colleagues with the Integrated Children's Community Health Services procurement and the Kent and Medway Independent Fostering Provision procurement.

SR21.05 Supplier engagement events are held throughout the year where appropriate linked to specific procurement exercises.

SR 02	Business continuity and emergency planning	Owner	Director of Regeneration, Culture, Environment & Transformation	Business management (cross cutting) Portfolio	Current Risk Score	D	II	Reviewed	Jan 2018
Link to Corporate Priority ALL									
Vulnerability			Trigger		Consequences				
Duties under the Civil Contingencies Act require councils to have an Emergency Plan. The Emergency Management and Response Structure may not be robust enough to respond to a major emergency. Every business activity is at risk of disruption from a variety of threats, which vary in magnitude from catastrophic through to trivial, and include pandemic flu, fire, flood, loss of utility supplies and accidental or malicious damage of assets or resources.			A significant adverse event occurs and the Council is found wanting or negligent in its planning and/or operational response		<input type="checkbox"/> Response to event is not rapid, adequate nor effective. <input type="checkbox"/> Lack of clear communication lines <input type="checkbox"/> Essential service priorities not clearly understood. <input type="checkbox"/> Communication between agencies and the public is poor. <input type="checkbox"/> Residents expect more from their Council <input type="checkbox"/> Local press quick to seize issue. <input type="checkbox"/> Comparisons made with other local authorities and resilience groups <input type="checkbox"/> A death, or deaths, in the community <input type="checkbox"/> Legal challenge under the 'Civil Contingencies Act 2004'				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs		Monitoring		
SR 02.01	Continue to develop the Council's Emergency Plan.	Director of Regeneration, Culture, Environment & Transformation	<ul style="list-style-type: none"> - Revised plan agreed by CMT - Continued engagement with Kent Resilience Forum - Staff trained in emergency response management at all levels - A sustainable and robust on call rota in place at all levels 	<ul style="list-style-type: none"> - Existing plan in place - Programme of on-going review of COMAH plans - Emergency response operations room in place. - On call rota in place covering all roles & responsibilities 24/7. 	<ul style="list-style-type: none"> - Draft plan update in place. - On call rota in place covering all roles & responsibilities 24/7 by April 18 - Relevant staff training during 2015/8. 		On-going		
SR 02.02	Business continuity plans completed to implement the actions.	Director of Regeneration, Culture, Environment & Transformation	All services will have an up-to-date and tested Business Continuity Plan.	<ul style="list-style-type: none"> - BCM Policy agreed. - BCM principles and project aims communicated training provided to divisional management teams across the Council during 2017. - A Corporate Recovery Plan. - IT Recovery Plan in place. - Draft flu plans in place. - Winter preparedness plans in place. 	<ul style="list-style-type: none"> Plans tested. BC Audit completed in 2017. 		Quarterly reports to Strategic Risk Management Group		

Progress Update – January 2018

SR02.01: The result of an internal audit review of the Council's Emergency Planning arrangements were presented to the Audit Committee in June 2017; the review found the Council's Major Emergency Plan effective with all relevant officers aware of their roles. The plan is subject to rigorous testing on a regular basis both internally and externally with the plan continually refined as a result to meet the ever changing needs of the council and local area. A "Major Incident Response" report was presented to Business Support Overview and Scrutiny Committee in October 2017 and included information on the Council's preparedness for a Major Incident including Business Continuity arrangements. Public Health supported the emergency planning team by providing winter readiness advice.

SR02.01: All Corporate Management Team and Service Managers have received Business Continuity training during 2016/17; following this all services were asked to test and review their Business Continuity arrangements and a revised corporate plan is currently being developed. The Council belongs to the Kent Resilience Forum Business Continuity Group that meet quarterly which shares plans and best practice. To raise the profile of BC the Council took part in a National Business Continuity awareness week in May 2017.

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SR 32	Data and Information	Owner	Chief Legal Officer	Adrian Gulvin Portfolio	Current Risk Score	C	II	Reviewed	Jan 2018
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger		Consequences				
<p>Moves to implement the Digital Strategy with innovative collaborations about "Big Data" open the Council to increased information risk particularly regarding personal and health data.</p> <p>Conversely not sharing information with partners and others minimises the Council's ability to improve service delivery and reduce costs. There is also a duty to share information in the interests of client care (Caldicott 2 Report).</p> <p>Local Authorities are required to achieve Level 2 on the Information Governance toolkit; however opportunities to improve the Council's position with respect to the IG toolkit requirements have been identified. Failure to achieve level 2 will mean that Medway Council will lose its trusted partner status with respect to the Kent and Medway information sharing agreement.</p>			<ul style="list-style-type: none"> - Budget pressures - ICO Audit reveals areas for improvement - Digital Strategy - Big Data project with academics - Annual information governance toolkit submission 		<ul style="list-style-type: none"> - Data loss leads to damage to reputation. - Not achieving cost efficiencies through Digital Strategy changes - Failing to achieve Members' expectations. - Failing to find new innovations - Failing to deliver good quality care for residents of Medway 				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring			
SR32.01	The Council has a Senior Information Risk Owner (Chief Legal Officer) and a Caldicott Guardian (Director of Children's and Adults Services) and in time for the General Data Protection Regulation also a Data Protection Officer (the Information Governance Manager)	Chief Legal Officer	To ensure that appropriate organisational safeguards are in place for sharing information.	Information governance policies and procedures are available on the intranet. Privacy Impact Assessments (PIAs) ISAs and Standards Operating Procedures (SOPs) also exists detailing roles and responsibilities.	On-going.	Regular			
SR32.02	Information Sharing Agreement (ISA) for Kent	Chief Legal Officer	Provides the basis for ISAs within Kent organisations and outside	PIAs, ISAs and SOPs and where appropriate Data Licence Agreements.	On-going	Kent ISA reviewed annually			
SR32.03	Security and Information Governance Group	Chief Legal Officer	Providing a corporate overview of all information risk across projects and initiatives	Minutes of SIGG meetings attended by representatives from Public Health, RCET and C&A Departments	On-going	Regular			
SR32.04	Meetings between Senior Information Risk Officer and Caldicott Guardian (Deputy	Chief Legal Officer	Good regular engagement to discuss risk areas	PIAs, ISAs and SOPs co-signed where relevant	Ad hoc as and when required.	Regular			

	Director C&A) on specific risks					
SR32.05	New Information Governance (IG) team created to augment the Council's response to IG	Chief Legal Officer	Improved control around IG and other related issues.	FOI and SAR statistics Periodic ICO audits Annual IG Toolkit submission GDPR readiness	On-going	Regular

Progress Update – January 2018

SR32.01: The Council's policies and procedures are being reviewed with the advent of the General Data Protection Regulations (GDPR) which come into force in May 2018. There is a specific project focused on this work.

SR32.02: The Information Governance Manager is maintaining a central register of agreements.

SR32.03: Regular meetings of the Council's Security Information Governance Group are held throughout the year, and in addition a separate project group are managing the Council's preparedness for GDPR.

SR32.04: Liaison between the SIRO and Caldicott Guardian has taken place in relation to relevant risk areas.

APPENDIX B

SR 33	Impact of Welfare Reform	Owner	Chief Finance Officer	Leader's Portfolio	Current Risk Score	D	II	Reviewed	Jan 2018
Link to Corporate Priority		Supporting Medway's People to Reach Their Potential and Giving Value for Money							
Vulnerability			Trigger		Consequences				
A wide range of changes in Government policy under the broad banner of 'Welfare Reform' could have a significant impact on the Council's resources. Some could impact directly on the Council's resources, such as the introduction of the living wage and the 1% per annum reduction in social rents, whereas others impact adversely on a cohort of the more vulnerable members of the community, which in turn increases demand for some the Council's core services – social care, housing and revenues and benefits. As the changes are implemented on a phased basis the Council not able to fully predict the impact they will have on its resources.			Since 2012 the Government has embarked upon a major programme of welfare reform, with the broad aims of encouraging people back into work and addressing a perceived 'dependency culture' in Britain. These measures have included: - Changes to tax allowances and thresholds - Reform of benefits (eg. Universal Credit, the cap) - Changes in eligibility for social housing - Introduction of the living wage - An influx of both identified and unidentified customers		<input type="checkbox"/> Impact on some of the most vulnerable citizens. <input type="checkbox"/> Consequent impact on demand for core council services. <input type="checkbox"/> Transfer of additional responsibilities to local authorities. <input type="checkbox"/> Direct and indirect impacts on council staffing resources. <input type="checkbox"/> Direct Impact on Rent Income Stream to HRA <input type="checkbox"/> Increase in homelessness/Evictions <input type="checkbox"/> Negative local publicity and reputational damage. <input type="checkbox"/> Unidentified customers impacted by the welfare reform presenting to the Council too late to prevent homelessness.				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs		Monitoring		
SR 33.01	Provide direct financial support for the most vulnerable members of the community.	Phil Watts	Customers are able to sustain tenancies and mortgages. Families remain resilient and less likely to need Council care services.	Implementation of the following <ul style="list-style-type: none"> • Council tax reduction scheme; • Discretionary relief; • Enhanced housing benefit; • Welfare provision. 	The number of customers receiving a housing duty presenting with the following reasons for their homelessness <ol style="list-style-type: none"> 1. Mortgage arrears (repossession or other) 2. Rent arrears on: <ol style="list-style-type: none"> a) Local authority or other public sector dwellings; b) Registered social landlord /other housing association; c) Private sector dwellings. KPI rent arrears as % of rent debit.		Government P1E quarterly returns (homelessness)		
SR 33.02	Establishment of the Welfare Reform Officer Group, to take forward the recommendations of the Welfare Reform Members Task Group.	Phil Watts	Staff from different services and directorates provides a joined up approach, meeting the challenges the welfare reform poses for our customers. In addition as many of our residents as possible are delivered a consistent message.	Establish a Welfare Reform Officer Group incorporating members from relevant services. Produce and deliver an action plan to implement the recommendations of the Welfare Reform Members Task Group. Regular reporting.	Monitor action plan and provide six monthly update reports to O&S Committee: August 2016 February 2017 August 2017 February 2018		Welfare Reform Officer Group Six monthly updates to BSD O&S		

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SR 33.03	The direct provision of and referral to money advice services.	Various	Customers are clearly signposted to free and independent money and debt advice, which will help them in budgeting and managing debts.	Produce specification for service provision and tender. Tender service and award service contract. Brief staff on procedures. Launch service and undertake wide publicity campaign for our customers.	Number of referrals made Number of referrals made where debt in line with Council tax arrears and rent arrears reduce	Quarterly
SR 33.04	Closer working with the DWP in relation to implementation of Universal Credit.	Phil Watts	Deliver the Council's commitments in terms of the Delivery Partnership Agreement.	Undertake joint meetings and working arrangements with DWP. Undertake joint publicity campaign to signpost customers to the DWP and where appropriate support them with online access to the application process. Formalise debt advice services.	Number of joint events held with partners to promote Universal Credit	Welfare reform Officer group Six monthly updates to BSD O&S
SR 33.05	Review of the HRA business plan to address the impact of the 1% reduction in rents and the high value subsidy figure which is being legislated in the proposed Housing Bill.	Marc Blowers	The Council has a clear understanding of future viability of HRA business plan and delivery of services, allowing the Council to plan effectively for the future provision of the service	Review the business plan once the Housing and Planning Bill has been passed and the high value subsidy figure is announced (expected June 2016) Consult on the plan with HRA tenants and present to BSD O&S.	Monitoring of Business Plan annually Quarterly budget monitoring. O&S report on revised HRA business plan – October 2016	O&S Committee Quarterly budget monitoring

Progress Update – January 2018

Universal Credit was introduced in Medway on a cascade approach on 12 October 2015 with the full rollout due to commence in February 2018, however this has been delayed until May 2018 by the Department of Works and Pensions (DWP). As at November 2017, Medway Council had 25 tenants in receipt of Universal Credit, and due to delays in payments by DWP these accounts were in arrears in excess of a total of £5,000; it is therefore likely that the rollout of Universal Credit will have a direct impact on the income to the HRA and to its tenants in Medway.

SR33.01: The arrears of the HRA stock continue to reduce despite the impact of welfare reform (for the period April 2017 to September 2017):

- Mortgage arrears (repossession or other) = 1
- Rent arrears on:

- Local authority or other public sector dwellings; = 0
- Registered social landlord /other housing association; = 0
- Private sector dwellings. = 6

The total value of arrears outstanding as at 5 November 2017 was £163,148 equating to 1.12% of the overall rent roll; this places Medway in the top quartile for rent collection against a target of $\leq 1.65\%$.

SR 33.02: The Officer Welfare Reform Group meets quarterly and last reported to Business Support Overview & Scrutiny in October 2017.

SR33.04: The DWP continue to attend the quarterly board meetings, and will attend some of the series of roadshows being planned by the Council for Spring 2018 to coincide with the delayed UC roll out date. DWP have held a number of presentations for partner organisations and senior officers of the Council, including Registered Social Landlords Partners and Private Sector landlords.

SR33.05: There is still no clear guidance from Government on the introduction of the higher value subsidy, however the Government have confirmed that stock holding authorities do not need to account for any subsidy payment in 2018/19. As a result the HRA business Plan has been revised and was presented to Members of O&S and Full Council as part of the annual rent and budget setting process. The deputy leader and portfolio holder for housing have advised that any contingency from the HRA business plan be removed until such time as there is clear guidance and a known financial threshold. On this basis the HRA business plan shows the service is sustainable for the next 30 years.

SR 34	Successful delivery of the corporate transformation programme	Owner	Assistant Director Transformation	Corporate Resources Portfolio	Current Risk Score	B	II	Created	Jan 2018
Link to Corporate Priority Giving Value for Money; Using digital innovation to meet residents' needs									
Vulnerability			Trigger			Consequences			
<p>The Council has established a corporate transformation programme designed to:</p> <ul style="list-style-type: none"> • Improve outcomes for residents • Support culture change so the council operates effectively in the digital age • Deliver savings and support management of demand • Establish a sound technical platform to support digital innovation <p>The programme will require collaboration between all services and the transformation team which has been established to drive change, innovation and delivery of cashable savings.</p> <p>There is a risk that the organisation as a whole does not have the capacity to actively participate in the programme which will put the intended outcomes, including savings which are built into the Council's medium term financial plan, in jeopardy.</p> <p>If too much focus is given to savings delivery at expense of transformational and culture change this may put delivery of sustainable change at risk</p>			<p>Whilst the savings attributed to the programme are relatively modest in relation to the council's overall operating costs, the programme profile assumes delivery at pace.</p> <p>Key triggers are:</p> <ul style="list-style-type: none"> • Decisions are not made to prioritise digital channels / move to digital only to enable savings to be realised • User centred design methods are not consistently applied • Services are not able to dedicate staff to the transformation project due to competing priorities • Transformation work is not seen as an integral part of service business • The council is unable to attract and retain the skillset needed to design and deliver digital innovation • Corporate support services have too many competing priorities 			<ul style="list-style-type: none"> <input type="checkbox"/> Programme outcomes are not delivered <input type="checkbox"/> Budget savings expectations are not fully met <input type="checkbox"/> Customer expectations about online service delivery are not met impacting on satisfaction with the council and its reputation <input type="checkbox"/> Customers don't use digital channels <input type="checkbox"/> Staff not given the tools to do their jobs in most efficient manner <input type="checkbox"/> The opportunity is missed to benefit from data analytics to tailor services and manage demand through preventative work 			

APPENDIX B

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

Progress Update – January 2018

The Transformation programme is ambitious and critical to ensure the Council continues to deliver efficient, easy to access good services. The programme is now under the management of a new Assistant Director and the following steps have been undertaken to manage the risks highlighted above:

- Full review of the programme to ascertain priorities and capacity,
 - Re-organisation of the transformation team,
 - Review of financial modelling of the programme,
 - Return on investment principles have been introduced,
 - A transformation microsite has been set up to communicate across the Council,
 - The Leadership Academy has completed the first phase of training for service managers.
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SR35	Homelessness	Owner	Assistant Director Physical and Cultural Regeneration	Deputy Leader and Housing Community Services	Current Risk Score	B	II	Created	Jan 2018
Link to Corporate Priority		Maximise Regeneration and Economic Growth							
Vulnerability			Trigger		Consequences				
<p>An increasing demand in relation Councils Duty to provide temporary accommodation under s188/193 of HA 1996 caused by continuing high levels of homelessness and lack of affordable housing supply.</p> <p>Reductions in the level of income achieved due to welfare reform increasing the risk of overspend on the council's budget.</p> <p>Increase in the rough sleeping population in the Medway area.</p> <p>Changes to legislative frameworks placing greater demand on services.</p>			<ul style="list-style-type: none"> • Increase in the number of households residing in temporary accommodation • Reduction in the councils ability to maximise prevention opportunities • Lack of appropriate temporary accommodation stock • Reduction in the availability of permanent affordable housing 		<ul style="list-style-type: none"> - Increasing and unsustainable overspend of allocated budget - Poorer outcomes for children and vulnerable adults - Increased legal challenge and penalty from the LGO - Reputational Damage - Failing to achieve Members' expectations. 				

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

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

Progress Update – January 2018

SR35.01: Work continues to ensure that the Council intervenes as early as possible in people's circumstances to prevent them from becoming homeless. Specific activity has included introducing a split in the function of the Housing Team at Kingsley House to focus on prevention and assessment of homelessness. Various work streams are being explored with partners to have a further impact on intervening to prevent homelessness. Prevention activity is monitored on a monthly basis and discussed with the Portfolio holder.

SR35.02: Delivery of affordable housing remains low in comparison to demand, however the Council plan target to deliver 204 homes is currently on target to be achieved. The Strategic Housing Service continues to engage with the planning process to ensure that 25% of affordable housing is achieved on s106 sites. To mitigate against increasing viability issues an open book process is taken with developers and housing providers as well as seeking independent expert advice.

SR35.03: Work continues to address the needs of rough sleepers at both operational and strategic levels. The Homelessness prevention strategy was adopted in August 2017 and sets out a range of actions that demonstrate how the Council intends to intervene. A strategic group has been established to identify work streams that will contribute towards reducing rough sleeping. Partners are engaged via the homelessness forum to work constructively to provide sustainable and appropriate solutions to resolve the circumstances of rough sleepers. A reviewed Severe Weather Emergency Protocol (SWEP) has been put in place this year, encompassing a wider communications strategy.

SR35.04: Recent work undertaken by the Kent Housing Officers Group (KHOG) benchmarked temporary accommodation prices across Local Authorities in Kent. Prices in Medway came out either the same or less than most Local Authorities in Kent. Prices paid by the LA have been held at the same level for approximately 4 years now as part of ongoing work to control spend. Robust budget monitoring is occurring in line with corporate timescales. Work continues on developing a DPS to secure temporary accommodation from the market, with a framework likely to be in place within the next 8 months.

SR35.05: The Homelessness Reduction Act 2017 comes into force on 03 April 2018; the Council is awaiting further guidance from MHCLG, which is likely to be issued in Spring 2018. Various new aspects of the act have been adopted by the Housing Options Team in order to ease transition next year. An implementation plan is currently being developed to map out all necessary activity to prepare the team for the additional responsibilities of the Act.

SR36	Alternative service delivery models	Owner	Corporate Management Team	Leader's Portfolio	Current Risk Score	B	II	Created	Jan 2018
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger		Consequences				
<p>A growing number of council services are operated through alternative delivery models including outsourcing/insourcing, trusts, joint ventures, Local Authority Traded Companies, partnerships and shared services and joint commissioning.</p> <p>The primary driver for entering into such models is typically to reduce costs while protecting service delivery</p>			<p>Weak options appraisals/businesses cases; opportunities overstated as commercial markets are not realised, and risks understated.</p> <p>Failure to effectively manage (staffing, relationships, agreements/contracts) the transition between the council and the service delivery model.</p> <p>Limited due diligence conducted on new service provider or key individuals in that provider.</p> <p>Weak or unclear agreements/contract and governance arrangements.</p> <p>Failure of a provider, risking failure to deliver services.</p> <p>Weak or ineffectual oversight / management / monitoring by the council as expertise is transferred to the new delivery model.</p>		<p><input type="checkbox"/> Failure to meet statutory responsibilities to residents.</p> <p><input type="checkbox"/> Unexpected costs from new delivery model.</p> <p><input type="checkbox"/> Delivery model not sustainable; responsibility for delivery of function unexpectedly transfers back to the council.</p> <p><input type="checkbox"/> Reputation of council damaged by activities of delivery model.</p> <p><input type="checkbox"/> Council or delivery model expectations not met by new arrangements.</p> <p><input type="checkbox"/> No option to renegotiate terms if circumstances change.</p> <p><input type="checkbox"/> Reduced influence / control of the council.</p> <p><input type="checkbox"/> Delivery model operates at a loss with deficit met from local taxation</p>				

APPENDIX B

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

Progress Update – January 2018

SR36.01: Proposals for commercialization were progressed during the year with Education Support Services transferred to Medway Commercial Group, however following Member consideration of business cases, proposals for commercialization in two service areas have not been progressed,

SR36.02, SR36.03 and SR36.04: The transfer of the Household Waste Recycling Centres to Medway Norse and the commencement of a shared legal service with Gravesham Borough Council have both been well managed projects resulting in a smooth transition to the new delivery model. Both were approved after consideration by Cabinet and have been the subject to scrutiny by Overview & Scrutiny Committees.

SR36.05 and SR36.06: CMT has considered proposals for alternative delivery models before they are reviewed at Cabinet including the creation of the Medway Development Company Limited. Overview & Scrutiny Committees have also conducted pre and post scrutiny of proposals. Regular reports of alternative delivery models are then made to Cabinet and Overview & Scrutiny Committees such as Medway Norse and Medway Commercial Group. The recent Corporate Peer Challenge suggested a review of governance arrangements and Members have recently asked for more detailed reporting of for example Medway Norse; this work is proceeding.

SR36.07: Business Continuity discussions with Medway Norse and Medway Commercial Group have taken place. Tendering guidance and the Council's Terms and Conditions are being reviewed with lessons learnt from the collapse of Carillion shared with all Managers within the Council. Risk management and business continuity are part of discussions at contract management meetings.