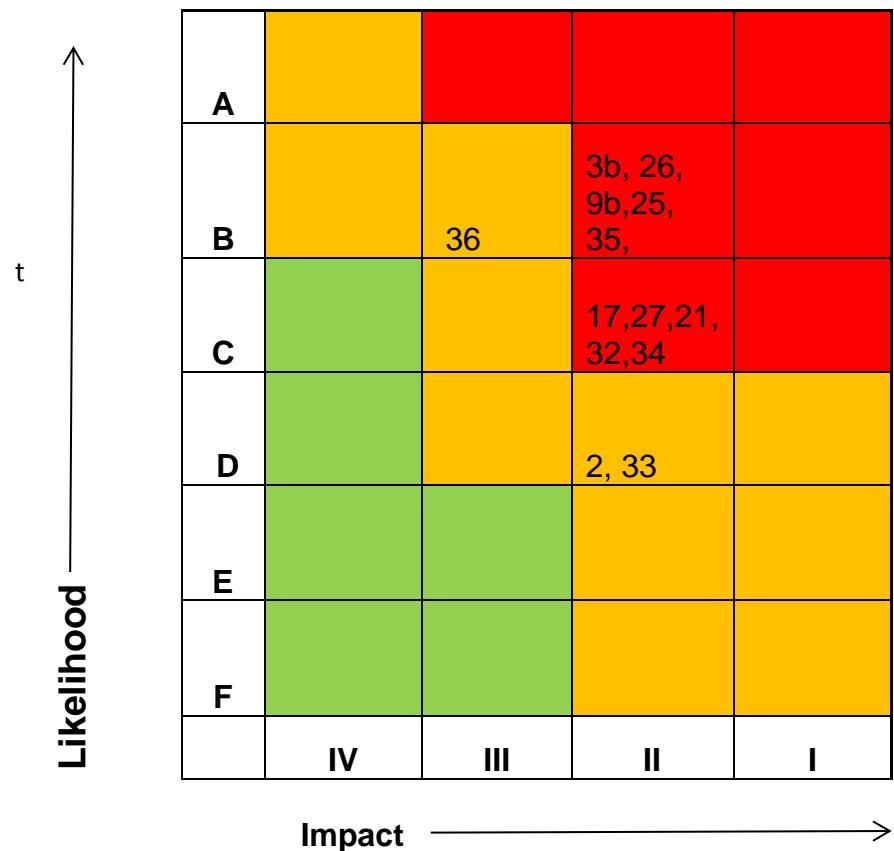


## Medway Council Corporate Risk Register – July 2018

Ref	Page	Risk	Owner	Inherent Risk Score	Current Residual Risk Score	Target Residual Risk Score	Movement	Definition (L-likelihood) (I-impact)
SRO3B	3	Finance	Chief Finance Officer	AI	BII	CIII	↓	L- high I -critical
SR26	6	Children's services	Director of C&A	BII	BII	BII	→	L – very high I - critical
SRO9B	10	Keeping vulnerable young people safe and on track	Director of C&A	BII	BII	BII	→	L- high I -critical
SR25	15	Adult social care transformation	Director of C&A	CII	BII	BII	→	L- high I -critical
SR34	20	Successful delivery of the corporate transformation programme	AD Transformation	BII	CII	DII	↓	L- significant I - critical
SR35	26	Homelessness	AD Physical and Cultural Regeneration	BII	BII	BII	→	L- high I -critical
SR36	30	Alternative service delivery models	Corporate Management Team	BII	BIII	CIII	↓	L- high I -Marginal
SR27	34	Government changes to Local Authority's responsibility for schools	Director of C&A	BII	CII	CII	→	L- significant I - critical
SR17	37	Delivering regeneration	Director of RCET	BII	CII		↓	L- significant I - critical
SR21	42	Procurement savings – capacity and delivery	Chief Legal Officer	AII	CII	DIII	↓	L- significant I - critical
SR32	45	Data and information	Chief Legal Officer	BII	CII	DIII	↓	L- significant I - critical
SR02	48	Business continuity and emergency planning	Director of RCET	EI	DII	DII	→	L- low I - critical
SR33	50	Impact of welfare reform	Chief Finance Officer	CII	DII	DIII	↓	L- low I - critical

## Strategic risk profile – July 2018



### 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

<b>CORPORATE RISK: SR03B FINANCES</b>		<b>RISK OWNER: CHIEF FINANCE OFFICER</b>	
		<b>Portfolio: Leader's</b>	
<b>Inherent Score: A1</b>	<b>Target Residual Score: CIII</b>	<b>Last Review: July 2018</b>	<b>Current Residual Score: BII</b>
<p><b>Threat / Inherent Risk</b></p> <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.</p> <p>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.</p>	<u>Score</u> A1	<p><b>Trigger</b></p> <ul style="list-style-type: none"> <li>The years of austerity and annual reductions in central support from Government, allied to the capping of council tax increases and culminating in the introduction of the business rate retention scheme. This has been exacerbated by the demographic pressures in both adult social care and children's care, pressures in relation to homelessness and pressures on pay and prices, not least the national living wage.</li> </ul> <p><b>Consequence</b></p> <ul style="list-style-type: none"> <li>Very difficult decisions around funding allocation;</li> <li>Service cuts;</li> <li>Quality of service compromised;</li> <li>Cutback in staffing on an already lean organisation;</li> <li>VFM Judgement;</li> <li>Negative local publicity;</li> <li>Damage to reputation.</li> </ul>	
<p><b>Current Residual Risk</b></p> <p>The medium term financial strategy agreed by Cabinet in September 2017 implied an increase in the budget shortfall of circa £6.0million for 2019/20. However, the provisional settlement announced on 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 Kent and Medway's 100% business rate retention pilot had been agreed. Both of these developments are positive for the Council's finances and impact positively on the MTFS projections, but also represent the continued move towards greater reliance on locally generated taxes and the inherent risks that brings.</p> <p>The quarter 1 revenue monitoring has also identified a number of pressures in relation to delays and difficulties in delivering agreed savings and challenging income targets. Improvements to an already robust monitoring process, more transparent reporting and a focus on</p>	<u>Score</u> BII	<p><b>Target Residual Risk</b></p> <p>The objective of the medium term planning process is to forecast the budget 'gap' over a number of years, taking into account assumptions around demographic, inflationary and other pressures and projecting forward the future funding from council tax, business rates and Government grant.</p> <p>Ultimately the aim would be to get to a position where the MTFS, through robust strategic plans, presents a balanced budget year on year, to providing assurance to the Council that its financial position is secure and sustainable.</p> <p>There will always however be a significant residual risk, as the MTFS is based upon uncertain assumptions in respect of the Council's tax base, the Government's finances, demographic pressures, inflation, interest rates and the economic climate.</p>	<u>Score</u> CIII

identifying management action have mitigated these risks.				
<b>MITIGATION</b>				
Ref: Action	Lead Officer	Desired Outcome: Expected Output	Milestones	Progress update
SR03B.01 Need to ensure effective response to the spending review, but also lobbying for greater local powers to raise revenues.	Chief Finance Officer	<p>Co-ordinate responses with members, brief MPs, agree media campaign, solicit support from peer authorities/partnerships.</p> <p>Unmodified VFM opinion in respect of the adequacy of financial planning and effective budgetary control.</p> <p>Increased devolution of tax raising powers to the Council.</p>	On-going	<b>July 2018</b> An unmodified audit opinion including positive VFM conclusion was received in respect of the 2017/18 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 responded to lobbying for greater flexibility by raising the referendum limit.
SR03B.02 Align priorities and activity of the Council to resource availability through MTFPS process.	Corporate Management Team	<p>Robust financial planning and management, ensuring financial risks are identified and managed effectively. Identification and delivery of a range of savings and income generating initiatives.</p> <p>Co-ordinate responses with members, agree media campaign, solicit support from peer authorities.</p> <p>Balanced budget with resources aligned to priorities, delivery of VFM and savings to ensure financial sustainability in the medium-term.</p> <p>Unqualified VFM Judgement - adequacy of financial planning, effective budget control, balanced budget and adequacy of reserves.</p>	Medium Term Financial Strategy in September. Capital and Revenue budget agreed by Council in February	<b>July 2018</b> The Council's Medium Term Financial Strategy was presented to Cabinet in September 2017 identifying a £6m 'gap' in 2018/19. The provisional local government settlement for 2018/19 enabled council tax to be raised by an additional 1% (circa £1m). The Secretary of State also announced that the Kent and Medway 100% Business Rates Retention pilot bid was successful, enabling Medway to retain 100% of business rates growth in 2018/19.
SR03B.03 Create resources for investment priorities.	Corporate Management Team	<ul style="list-style-type: none"> <li>• Track funding opportunities;</li> <li>• Maximise capital receipts on asset disposal;</li> <li>• Prudential borrowing.</li> </ul>	On-going	<b>July 2018</b> The new Treasury Management Strategy was agreed by Full Council on 22 February 2018. In addition to £23m invested in managed property funds, the strategy also includes the planned direct investment in property of

		Revenue returns from investments and capital assets and appreciation in capital asset values.		£20m, incorporated in the Capital Programme. £120m planned investment using MDC Ltd.
SR03B.04 Delivery of digital transformation programme	Transformation Board	Development of high quality digital services.  Delivery of efficiency savings through enhanced processes.  High quality digital services and reduced service delivery cost.  Improved value for money in delivery of Council services.	On-going	<b>July 2018</b>  The Council is on track to deliver the 2018/19 digital transformation savings target and further plans are being formulated to extend the transformation programme into 2019/20 and beyond.
<b>Opportunities and the way forward</b>				
<p>The key to improving the effectiveness of the Council's financial planning and management is to address the uncertainty around future funding and improve the forecasting of cost pressures. Our external advisors and professional networks already provide the best available intelligence around Government expenditure plans, however more recently the Finance Management Team have been working more closely with colleagues within the Planning and Regeneration teams, with a view to more accurately projecting future council tax and business rates. The way the accountants work with managers has subtly changed too, with financial forecasts produced more collaboratively and with a view to achieving a consistent narrative running through the quarterly monitoring and the future financial plans.</p> <p>Finally, the Medium Term Financial Strategy has, as its theme, financial resilience and sustainability, with a clear focus on managing and rebuilding reserves.</p>				

<b>CORPORATE RISK: SR26 CHILDREN'S SERVICES</b>			<b>RISK OWNER: DIRECTOR OF CHILDREN AND ADULTS</b>		
			<b>Portfolio: Children's Services</b>		
<b>Inherent Score: All</b>	<b>Target Residual Score: BII</b>		<b>Last Review: July 2018</b>	<b>Current Residual Score: BII</b>	
<p><b>Threat / Inherent Risk</b></p> <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>			<u>Score</u> All	<p><b>Trigger</b></p> <ul style="list-style-type: none"> <li>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.</li> <li>Managing high caseloads impact on quality of work being undertaken with children in need, including the need for protection and looked after children.</li> <li>Partner agencies failing to identify families that need targeted support through the early help outcomes framework.</li> </ul> <p><b>Consequence</b></p> <ul style="list-style-type: none"> <li>Budget pressures with consequences across the Council.</li> <li>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.</li> <li>Poorer outcomes for children young people.</li> <li>Impact on statutory responsibilities and regulatory judgement.</li> <li>Excessively high caseloads</li> </ul>	
<p><b>Current Residual Risk</b></p> <p>Recruitment and retention of staff remains an issue.</p> <p>Inspection findings have highlighted areas for improvement</p>			<u>Score</u> BII	<b>Target Residual Risk</b>  Improved data and reporting will enable us to enhance quality and timeliness in practice and care proceedings. Recruiting and maintaining a stable cohort of permanent staff will help deliver this.	<u>Score</u> BII
<b>MITIGATION</b>					
<b>Ref: Action</b>	<b>Lead Officer</b>	<b>Desired Outcome: Expected Output</b>	<b>Milestones</b>	<b>Progress update</b>	
SR 26.01  Recruitment & retention & workforce development strategy for children's social	Children's Service (DD); Human Resources	Well trained & supported workforce. Permanent staff numbers.	As per strategy and plan.	<b>July 2018</b>  Recruitment and retention of permanent staff has remained an issue, with current agency social worker at around 40%	

workers implemented.	Service Team			Report taken to Delivery Board in December and new T&C agreed for social workers to support recruitment and retention of permanent workforce. 2017 – a range of training delivered to support strengths based systemic . 2018 – Promoting Practice plans for recruitment and retention. Partnership with the Centre for Systemic social work to deliver training to social workers and managers 2018 – Firstline programme of leadership training to social work Team Managers. Vacancy rate risk has increased through static level of vacancy since Jan 18 leading to a cumulative impact on practice of turnover in permanent staff combined with the low quality of locum staff. Recruitment of locum staff has developed as a risk area given low supply of quality locum staff.
SR 26.02  Together We Can –Strategy has been implemented in response to Ofsted recommendations to strengthen quality of practice.	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.  Effectiveness of early help.	Educational outcomes LAC. Reduce delays in care proceedings. Percentages of families who have had a CAF/Early help Assessment, who have achieved desired outcomes at end of their intervention.	<b>July 2018</b>  Need data to set out current position in relation to education and permanence for LAC.  Reduce delays in care proceedings. Current performance continues to be poor and quality of legal services provision is affected by their own recruitment and retention challenges.  Quality and timeliness in care proceedings has improved since 2018; issues remain, however the appointment of Legal Practice Development Manager has been instrumental in practice improvement.  Legal team recruitment and quality issues have been addressed by the Assistant Head of legal. Further improvement is needed to be consistently good.
SR 26.04  Implementation of the Children's Services Quality	Director for Children and Adults	Good quality and consistent practice. Learning and thematic Audits and other quality assurance tasks are	The learning points from completed	<b>July 2018</b>  Monthly and thematic audits of casework have been undertaken, the finding of these have been themed and

Assurance Framework		completed as per the QA framework.	auditing activity are aggregated so as to inform learning.	will support our self-evaluation and 'Promoting Practice' action planning. Milestone: Multi agency attendance at CP conferences. Early Help now part of the audit framework. Recent health check and more recently the JTAI reflected that good decision making and threshold applied to EH case work. Our focus now needs to be on the quality of practice.
SR 26.05 Strengthen MSCB.	Director of Children and Adults	Strengthened partnership arrangements for supporting vulnerable children.  Stronger focus on the Board's priorities and objectives which includes robust scrutiny and challenge amongst the partnership	Develop clear governance and strategic arrangements. Defining clear objectives for the sub-groups and working groups, looking at service delivery for children and families across the partnership.	<b>July 2018</b>  JTAI findings highlighted a number of areas of development across the four inspectorates. Multi-agency JTAI planning meeting scheduled for mid-September to draft an action plan based on the findings. Thereafter this will be led by Public Health. Progress will be reported to Children's Service Delivery Board.  Working Together 2018 was published in June which highlights the new arrangements for Local Safeguarding Partnership. Initial meeting was held 21 August 2018 to discuss the plans. Further meetings to be held between Medway Council, CCG and police. Action plan to be devised and project managed by MSCB Board Manager.
SR 26.06 Implementation of projects to better manage demand around edge of care and early help, including strengthening support to parents at home does reach desired outcome.	Commissioning, Business & Intelligence (AD), Children's Services (DD)	Safely reduce C&YP entering and staying in the care system.  Edge of care response to increase.  Early help.  To establish a PMO that can quality assure projects.	Reduced demand for CSC services.	<b>July 2018</b>  The number of young people entering care have reduced  The number of Care Proceedings being issued has reduced  Early Help offer has been reconfigured around the 4 Early Help Hubs and been brought under one Service Manager  Youth Service now supporting with MISPER interviews 4 Early Help Social workers appointed

				Currently recruiting to a vulnerabilities lead
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 if the programme achieves the upfront fee and transformation grant	<b>July 2018</b>  Appointed a strategic lead to support the HoS manage the recovery plan.  Glenesk have completed some date predicted analytics 1st August the HoS will attend MHCLG to agree the recovery plan  Target for Q1 achieved but greater risks exist highlighted in the recovery plan for the next 21 months. Current financial risk is around £250,000 for the upfront fee.
<b>Opportunities and the way forward</b>				
Improved data and reporting will enable better management control. Implementation of projects managing demand, such as the reconfiguration of Early Help. Strengthened role for MSCB.				

<b>CORPORATE RISK: SR09B KEEPING VULNERABLE YOUNG PEOPLE SAFE AND ON TRACK</b>			<b>RISK OWNER: DIRECTOR OF CHILDREN AND ADULTS</b>		
			<b>Portfolio: Children's Services (Lead Member) Portfolio Educational Attainment and Improvement Portfolio</b>		
Inherent Score: BII	Target Residual Score: BII		Last Review: July 2018		Current Residual Score: BII
<b>Threat / Inherent Risk</b>  Changes in the demographics and in the legislative requirements affect SEN and YOT.		Score BII	<p><b>Trigger</b></p> <ul style="list-style-type: none"> <li>The Council is unable to address these issues with cost effective, innovative solutions.</li> </ul> <p><b>Consequence</b></p> <ul style="list-style-type: none"> <li>Poorer outcomes for children and young people.</li> <li>Budget pressures with consequences across the Council.</li> <li>Impact on statutory responsibilities and regulatory judgement</li> </ul>		
<b>Current Residual Risk</b>  The SEND inspection highlighted the need for better data analysis and performance monitoring	Score BII	<b>Target Residual Risk</b>  A solid analysis of available performance data enables us to promptly identify areas of concern and develop action plans to address them.		Score BII	
<b>MITIGATION</b>					
Ref: Action	Lead Officer	Desired Outcome: Expected Output	Milestones	Progress update	
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)	<p>Improved outcomes for C&amp;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.</p> <p>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><b>July 2018</b></p> <p>Due to feedback from the recent SEND inspection, B&amp;I are recommending a performance forum is set up to carry out regular monitoring.</p> <p>The recent SEND Inspection highlighted strengths and areas of improvements. A clear action plan will be devised. Joint Agency Panel will provide scrutiny to the High Needs Block. However, there is a financial risk that the DSG High Needs Block will be overspent.</p>	

<p><b>SR 09b.05</b> The recent SEND Inspection highlighted strengths and areas of improvements. The Council and CCG were required to submit a Written Statement of Action in April 2018. This was accepted by Ofsted and NHS England.</p>	<p>Director of C&amp;A Director of CCG</p>	<p>Successfully implement the 2014 SEND reforms, this is demonstrated by Ofsted, NHS England and the Minister for Education agreeing in February 2019 that Medway has achieved all improvements in the written statement of action which addresses the eight significant areas of improvement in the SEND inspection outcome letter. Good management information to inform decision making of the SEND improvement board. Data and Performance information supports with the strategy and improvement plan. Improvement against the statement of action.</p>	<p>There are four NHS England and Ofsted and scrutiny meetings between July 2018 – February 2019. Milestones would be for the outcome of the meetings be favourable.</p>	<p><b>July 2018</b> The SEND Improvement Board is now established and is providing oversight and monitoring of the Written Statement of Action progress and scrutiny to the High Needs Block. However, there is a financial risk that the DSG High Needs Block will be overspent.</p>
<p><b>SR 09b. 06</b> The Council and partners have been issued with the JTAI findings and recommendations, following the inspection regarding Children living with Domestic Abuse.</p>	<p>Director of C&amp;A &amp; Public Health Director of CCG Chief Superintendent Kent and Medway Police</p>	<p>Improve the response to and outcomes for children living with domestic abuse.</p>	<p>Multi agency audits completed. Launch strategy. Use of intelligence informs commissioning.</p>	<p><b>July 2018</b> The JTAI report has identified various areas for improvement and issued a priority action to the partnership ensuring that children about whose welfare there are concerns are referred to the multi-agency front door, and improving information sharing and decision making. MASH and First Response management of referrals, decision making and analysis of risk. Multi-agency JTAI planning meeting scheduled for mid-September to draft an action plan based on the findings. Thereafter this will be led by Public Health. Progress will be reported to Children's Service Delivery Board. The formal response to the JTAI findings to be submitted in November 2018.</p>
<p><b>SR 09b.07</b> Ensure practitioners are</p>	<p>Children's Services</p>	<p>- Lower numbers of first and repeat entrants to the YJS. - Lower number of</p>	<p>Grant provided by MoJ for</p>	<p><b>July 2018</b> Work continues to develop the Adolescent Risk Panel;</p>

<p>equipped to be compliant with any changes in the Youth Justice system and that monitoring systems are in place to track this.</p>	(DD)	<p>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 enable magistrates to impose an order as an alternative to secure remand.</p> <p>Performance is monitored monthly (proxy figures) and quarterly (YJB information). YOT Board meets quarterly to oversee provision, steer development and monitor progress.</p>	<p>developing alternatives to custodial remand is used effectively for innovative support and budget not exceeded by custody bill.</p>	<p>Data Analysis on Missing and Contextual Safeguarding cases remains in progress; the development of services in response to contextual safeguarding continues and an operational practice guidance document is required to ensure consistency of practice throughout the multi agencies involved.</p>
<p><b>SR 09b.08</b> 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.  All professionals, voluntary groups and the wider community including hard to reach groups are aware of, and have an understanding of CSE and missing.  Implement findings of review of CSE unit.</p>	<p>Director Children &amp; Adults</p>	<ul style="list-style-type: none"> <li>- Ensure that we have a comprehensive strategy in place for CSE and missing.</li> <li>- All professionals working directly with CYP have an understanding and knowledge of CSE and missing; and develop appropriate skills.</li> <li>- Increase the awareness and understanding of CSE and missing by all professionals, voluntary groups, wider community including hard to reach groups.</li> <li>Improvement of identification, prevention, support disruption and prosecutions</li> <li>Development of a reliable multi-agency data set.</li> <li>Comprehensive joint K &amp; M LSCB strategy for CSE has been signed by the MSCB and missing protocols in</li> </ul>	<p>The K &amp; M CSE strategy has been reviewed and recommendations operationalised. 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>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 Awareness raising campaign agreed and implemented.</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>	
SR 09b.09 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.  Other professionals and community groups have an understanding and an awareness of the Governments Prevent agenda	Children's Services (DD)	<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 young people at risk of radicalisation. 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>	
<b>Opportunities and the way forward</b>				
Improved multi agency working Further development of performance and data reporting				

CORPORATE RISK: SR25 ADULT SOCIAL CARE TRANSFORMATION		RISK OWNER: DIRECTOR OF CHILDREN AND ADULTS	
		Portfolio: Adult Services	
Inherent Score: CII	Target Residual Score: CII	Last Review: July 2018	Current Residual Score: BII
<p><b>Threat / Inherent Risk</b></p> <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. 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.</p> <p>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><b>Score</b></p> <p>CII</p>	<p><b>Trigger</b></p> <ul style="list-style-type: none"> <li>Demographic impact.</li> <li>There are national ambitions for further integration by 2020.</li> <li>The implementation of the STP across Kent and Medway, and the development of an Accountable care Organisation needs to be understood and led locally.</li> <li>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.</li> <li>Capacity planning for local care must incorporate Social care and preventative services</li> <li>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</li> <li>The length of stay in residential and nursing care homes is extended.</li> </ul> <p><b>Consequence</b></p> <ul style="list-style-type: none"> <li>Potentially significant increase in spend on Adult Social Care.</li> <li>Potential impact on ASC resources.</li> <li>Potential risk around supporting wider health economy.</li> <li>Inability to meet demand placed on social care through changes to primary care and secondary care</li> <li>MICES as the number of discharges from hospital rises there remains increased pressure on the community equipment service, which is a pooled budget.</li> <li>Reduction of capacity in domiciliary care market</li> <li>Fee Increases (commissioned Care and Direct payment rates).</li> <li>Reduction of capacity in residential and nursing homes</li> <li>Transition clients from Children/ SEN Residential placements</li> <li>Level of Savings Achieved through Getting Better Together programme</li> </ul>	

			<p>lower than budgeted.</p> <ul style="list-style-type: none"> <li>• Increase in the number of LD Care homes/ Supported Living providers giving notice to terminate placements or triggering legal action in light of not receiving annual inflationary increase to offset NMLW/Sleep-in increases in payment</li> <li>• Number of providers at risk of liquidation which results in financial pressures for the local authority when seeking alternative placements</li> </ul>	
<b>Current Residual Risk</b>  Our transformation programme to deliver the 3 conversations has proved through a number of tests for change that the approach can be rolled out at scale to deliver a more cost effective and efficient service through preventing, reducing and delaying the need for services.  Significant work has been undertaken in partnership in regard to hospital discharges, significantly reducing the number of DTOCs and in sustaining this reduction.  Providers will be impacted by the agreement for the provision of a fee uplift. The recent government ruling on 'sleeping in' charges will reduce their financial burden.	<u>Score</u> BII	<b>Target Residual Risk</b>  Our ongoing transformation programme will enable us to work sustainably, using the right tools, delivering strengths based practice through the 3 conversations approach to deliver our statutory responsibilities and services in the most cost effective way.		<u>Score</u> CII

<b>MITIGATION</b>				
<b>Ref: Action</b>	<b>Lead Officer</b>	<b>Desired Outcome: Expected Output</b>	<b>Milestones</b>	<b>Progress update</b>
SR 25.01  Commissioning sufficient capacity and a suitably wide range of services to meet need.  Prevention, including technology enabled care services, early help and short term services to maximise independence.  Close management oversight, and action as required, to	AD Adults Social Care /Commissioning, Business & Intelligence AD	Best outcomes for people (as per their support plans) and best value for the Local Authority as statutory body and commissioner.  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.  All clients are offered Personal	Personal Budgets performance as per KPI.  Category Management project on high cost	<b>July 2018</b>  The 3 conversations approach, which aims to prevent, delay and reduce needs has been successfully piloted and is being rolled out across the service.  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 has been

<p>manage the budget. Short term management actions are being taken to reduce any overspend.</p>		<p>Budgets/Direct Payments. Joint strategies and commissioning plans with NHS. The Provider Forum engages the sector and assists us to work in partnership in a meaningful and effective way. ASC Strategy and associated key projects. Monthly scrutiny of budgets at AMT and audits of practice and Personal Budgets/Direct Payments. Management action as required.</p>	<p>placements End of year spend within budget. Programme developed and underway. Dynamic Purchasing System. Increase the number and effectiveness of reviews. Reduction in delayed transfers of care</p>	<p>developed and is being implemented 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 30.6% in June 2018, rising incrementally each month. A project is being taken forward to improve the market development of alternatives to day, residential respite provision such as short breaks with the aim to increase uptake of direct payments but offer carers and service users more choice A business case for the joint recommissioning of homecare and residential / nursing care has been completed and signed off. Pilot project to develop the VCS to deliver non personal care more cost effectively than Home Care is being taken forward.</p>
<p>SR 25.02 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. Risk of legal challenge and breaching statutory timeframes.</p>	<p>Director Children &amp; Adults</p>	<p>People in receipt of Health and Social Care Support are not deprived of their liberty illegally. DoLS applications to Medway as a Supervisory Body are processed and assessments carried out within timeframes. DoLS process is digitalised to create efficiencies 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><b>July 2018</b> Additional DOLs 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 2017 to 66 by end of June 2018. 6 members of staff are being supported to undertake BIA training in 2018, which will support the completion of more timely assessments.</p>
<p>SR 25.04</p>	<p>Interim AD Adult Social</p>	<p>To describe Medway's potential for integration by nationally set</p>	<p>To be able to define</p>	<p><b>July 2018</b></p>

To work with Health colleagues to develop a vision for integration at a Medway level. To identify what the Accountable care 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	Care /Commissioning, Business & Intelligence AD	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.	what the local Care offer will be from April 2017. Involvement in public Consultation Summer 2017	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 closer working with health services are being taken forward through the STP local care arrangements. DToCs are within agreed targets. Impact on social care and equipment service being monitored. Joint commissioning budgets have been approved. JCMG has joint management oversight over joint working and is accountable to both structures and is co-chaired by DCAS and COO. Integrated commissioning undertaken through a joint team.
SR 25.05  That the intermediate care, MICES, rapid response and discharge arrangements to-put additional pressure on the ASC budgets	Assistant Director, Commissioning, Business & Intelligence	Additional pressure not put on ASC budgets  Delivery of effective Integrated Commissioning activity.	Ensure appropriate contributions from health. Complete targeted reviews of ASC cases <i>Underway</i> . Approval granted for MICES to be re-procured. Utilising BCF/IBCF monies effectively to minimise impact on social	<b>July 2018</b>  Plans for further integration are being taken forward through the STP local care arrangements. Delayed Transfers of Care continue to be within the agreed target. The impact on social care and MICES equipment service is being monitored and management action is in place and has proved effective in keeping the MICES service within budget.  The Transforming Care Programme is an emerging risk as significant facets of this remain unresolved at national, regional and local levels.  Any potential pressure from the intermediate care, rapid response and discharge arrangements is being counterbalanced by current work underway to provide greater efficiencies across the health and social care system including development of Integrated Discharge Team, streamlined discharge pathways to community and real time visibility and flexibility of community beds providing a more dynamic effective way of managing cost and demand pressures.  JCMG have given agreement for MICES to be re-

			<i>budgets. Ongoing</i>	procured.
<b>Opportunities and the way forward</b>				
The service will implement the next phase of the transformation programme to roll out the 3 conversations approach at scale through a sustainable workforce with the right skills and tools.				
Commissioning of further capacity in the domiciliary market will enable us to further impact our delayed transfers of care.				

<b>CORPORATE RISK: SR34 SUCCESSFUL DELIVERY OF THE CORPORATE TRANSFORMATION PROGRAMME</b>		<b>RISK OWNER: AD TRANSFORMATION</b>		
		<b>Portfolio: Corporate Resources</b>		
<b>Inherent Score: BII</b>	<b>Target Residual Score: DII</b>	<b>Last Review: July 2018</b>	<b>Current Residual Score: CII</b>	
<p><b>Threat / Inherent Risk</b></p> <p>The Council has established a corporate transformation programme designed to:</p> <ul style="list-style-type: none"> <li>• Improve outcomes for residents</li> <li>• Support culture change so the council operates effectively in the digital age</li> <li>• Deliver savings and support management of demand</li> <li>• Establish a sound technical platform to support digital innovation</li> </ul> <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>		<u>Score</u> BII	<p><b>Triggers</b></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"> <li>• Decisions are not made to prioritise digital channels / move to digital only to enable savings to be realised</li> <li>• User centred design methods are not consistently applied</li> <li>• Services are not able to dedicate staff to the transformation project due to competing priorities</li> <li>• Transformation work is not seen as an integral part of service business</li> <li>• The council is unable to attract and retain the skillset needed to design and deliver digital innovation</li> <li>• Corporate support services have too many competing priorities</li> <li>• Inspection from external organisations such as OFSTED diverts resource and focus for continued periods of time.</li> </ul> <p><b>Consequence</b></p> <ul style="list-style-type: none"> <li>• Programme outcomes are not delivered</li> <li>• Budget savings expectations are not fully met</li> <li>• Customer expectations about online service delivery are not met impacting on satisfaction with the council and its reputation</li> <li>• Customers don't use digital channels</li> <li>• Staff not given the tools to do their jobs in most efficient manner</li> <li>• The opportunity is missed to benefit from data analytics to tailor services and manage demand through preventative work</li> </ul>	
<p><b>Current Residual Risk</b></p> <p>The transformation programme is on target to deliver the required savings and organisational change set out within the original scope of</p>		<u>Score</u> CII	<p><b>Target Residual Risk</b></p> <p>As the financial savings are made the overall risk of the programme reduces – we are currently in the 3<sup>rd</sup> year of a 3 year</p>	<u>Score</u> DII

work. The leadership, governance and financial scrutiny have ensured the timeliness and delivery .			programme and therefore the risk is reducing exponentially				
<b>MITIGATION</b>							
Ref: Action	Lead Officer	Desired Outcome: Expected Output		Milestones	Progress update		
June 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:							
<ul style="list-style-type: none"> <li>• Full review of the programme to ascertain priorities and capacity,</li> <li>• Re-organisation of the transformation team,</li> <li>• Review of financial modelling of the programme,</li> <li>• Return on investment principles have been introduced,</li> <li>• A transformation microsite has been set up to communicate across the Council,</li> <li>• The Leadership Academy has completed the first phase of training for service managers.</li> <li>• The new Medway.gov has been created providing a solid platform for future digital transformation</li> </ul>							
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	<b>July 2018</b>	Business problems and issues are addressed, and service costs are reduced. Transformation activity is viewed as part of business as usual. A new leadership and structure is in place for the transformation team to ensure effective decisions are being made at pace based on a return on investment business case model. The Transformation Programme Lead is liaising with Assistant Directors and Service Managers to identify business problems and issues. Projects are then developed for the Delivery Managers and Service Designers within the transformation team to carry out an initial “discovery” phase of work. A decision is then made by the transformation team and service to determine whether investment is required to achieve savings / reduce service costs. In this case a business case, with clear Return On Investment, is submitted to the Transformation Board for consideration and approval. If investment is not required the project will be prioritized and taken		

				forward by the transformation team where appropriate.
SR34.02 Leadership development delivered through the Leadership Academy	AD Transformation	Managers demonstrate required leadership behaviours Skilled and effective leaders.	Academy launched May 17	<b>July 2018</b> Managers demonstrate required leadership behaviours The transformation programme has developed a Leadership Academy, which was launched in early 2018 to provide service managers with the skills and leadership behaviours required to implement change within their service areas. This training will continue with other senior managers throughout 2018. The transformation team also underwent specialist training on communication and engagement during change in June 18 to allow them to communicate, engage and lead staff through change.
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)	<b>July 2018</b> Transformation activity is viewed as part of mainstream work. The transformation programme is now following the Managing Successful Programmes (MSP) framework and principles to deliver change. MSP represents proven best practice in programme management in successfully delivering transformational change, drawn from experiences of both the public and private sector organisations. A key aspect of MSP is the transition of new capabilities (eg new eForms, ICT systems, redesigned processes) into measurable improvements (benefits) that become part of the mainstream work. (
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	<b>July 2018</b> Digital skills developed and retained in house  JADU was selected as the platform to develop the new Medway.gov.uk website. The transformation and digital teams underwent intensive training on how to develop and administer the new site, which was delivered within 3 months. Most other organisations take 9 – 12 months to deliver a similar site so this was a

					major achievement. The framework of the website was developed in partnership with JADU but the in house staff set up the content and additional functionality of the site. Medway Council have recently been awarded 3 stars out of 4 for this year's Soctim (the society for IT managers in the public sector) review, up from 1 star last year. Soctim reviews all council websites against top tasks, as well as accessibility and mobile responsiveness. Medway scored top marks for overall experience and usefulness of the site search function. Medway also scored top marks (4 out of 4 stars) for the top task of "find out how to put out rubbish for collection" and are named as an example of best practice for other councils to follow. Only 24% of councils scored the maximum of 4 stars for this top task in 2017-2018 prompting the following reviewer comment: "Excellent structure information was easy to find, the site layout was consistent."
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	<b>July 2018</b>  Transparent process for prioritising projects to give balanced delivery of programme outcomes. Savings targets achieved  The Transformation Programme Lead held a number of meetings and workshops with Assistant Directors, Service Managers and the Finance Teams to identify a wide range of potential candidate projects to achieve transformation savings and provide improved services to residents. These candidate projects were then screened using a "SAF" Matrix to determine whether they were Suitable (they would achieve improved services/savings), Acceptable (stakeholders would be likely to approve of the projects) and Feasible (the improved services/savings would be achieved within the required timescale). This provided a transparent process to the selection and prioritisation of projects. A programme road map was then created to balance the different workstreams to achieve the required	

				outcomes and savings.
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	<b>July 2018</b>  More expensive telephone and face to face channels are only used for complex services where customer need dictates this  As part of the move to using the Managing Successful Programmes (MSP) framework the Transformation Programme is now being managed in tranches to ensure that the rate of change being offered by the programme is delivered at a rate that the operational service areas can cope with. This approach will also provide transparency to the Transformation Programme as services benefit from the changes being implemented at a faster pace. From 1 April 2018 a dedicated Business Intelligence Team for the Council was initiated to bring together the Corporate and RCET P&I hubs team to develop and embed business intelligence as a core part of a dynamic, council wide transformation programme led from within RCET. A key workstream within Tranche 1 (January – July 18) was to focus on the making Council services available online. Since January the following services now have an online presence: Bulky waste collections, Blue Badge application, Adult Education. A new system has also been purchased to enable many more services to be made available online from July 2018 to reduce telephone demand. An assisted digital strategy has been produced to enable support to be provided to those that are unable to use digital channels and those that have more complex needs.
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	<b>July 2018</b>  High levels of customer take-up of and satisfaction with digital service delivery  Monitoring processes are being built in to the digital systems being developed. This enables us to review and

				improve digital service delivery. As an example, we recently reviewed the bulky waste form and were able to identify the exact step some customers were abandoning the form. This enabled us to redesign the form and make iterative improvements. The new website also provides customers with the ability to give feedback on the site. The transformation and digital teams are also working closely with the Corporate and RCET P&I hubs team to develop and embed processes to monitor customer take up and satisfaction.
<b>Opportunities and the way forward</b>				
The transformation team are looking at a structure which allows us to ensure transformational change becomes business as usual for the Council. As this way of working becomes more embedded in the organisation the risk will reduce.				

<b>CORPORATE RISK: SR35 Homelessness</b>			<b>RISK OWNER: AD Physical and Cultural Regeneration</b>		
			<b>Portfolio: Deputy Leader Housing and Community Services</b>		
<b>Inherent Score: BII</b>	<b>Target Residual Score: CII</b>		<b>Last Review: July 2018</b>		<b>Current Residual Score: BII</b>
<b>Threat / Inherent Risk</b> <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> <p>-</p>		<u>Score</u>  BII	<u>Triggers</u> <ul style="list-style-type: none"> <li>• Increase in the number of households residing in temporary accommodation</li> <li>• Reduction in the councils ability to maximise prevention opportunities</li> <li>• Lack of appropriate temporary accommodation stock</li> <li>• Reduction in the availability of permanent affordable housing</li> <li>• Reductions in staffing levels to sustain levels of service</li> </ul> <u>Consequence</u> <ul style="list-style-type: none"> <li>• Increasing and unsustainable overspend of allocated budget</li> <li>• Poorer outcomes for children and vulnerable adults</li> <li>• Increased legal challenge and penalty from the LGO</li> <li>• Reputational Damage</li> <li>• Failing to achieve Members' expectations.</li> </ul>		
<b>Current Residual Risk</b> <p>The Council continues to undertake a proactive approach to tackling homelessness. Issues beyond the Council's control continue to be the dominating factor in relation to the demand placed on the service. These include; Increasing rents in the private sector, reductions in the delivery of affordable housing and the impact of welfare reform initiatives.</p>		<u>Score</u>  BII	<b>Target Residual Risk</b> <p>In order to manage the overall level of risk the Council continues to develop preventative services to tackle homelessness. The risk of further increases to temporary accommodation should decrease, however this still stands to be influenced by the external factors identified within the current residual risk.</p>		<u>Score</u>  CII
<b>MITIGATION</b>					
<b>Ref: Action</b>	<b>Lead Officer</b>	<b>Desired Outcome: Expected Output</b>		<b>Milestones</b>	<b>Progress update</b>
SR35.01  Increase the prevention activity undertaken including opportunities for joint working across directorates as well as with other organisations such as	Assistant Director Physical and Cultural Regeneration/ Head of	Opportunities to prevent homelessness are maximised via service delivery and through the development of joint working/referral protocols with other services/organisations		Monitoring throughout 2018/19 Government HCLIC quarterly	<b>July 2018</b>  Work continues to ensure that the Council intervenes as early as possible in people's circumstances to prevent them from becoming homeless. The structure of the team is currently being reviewed to ensure its effectiveness in satisfying the commitments of the

DWP	Strategic Housing	Increase in the amount of successful prevention cases Dedicated resource to tackle prevention of homelessness.	returns.	Homelessness Reduction Act 2017 that came in to force on 03 April 2018. Various work streams are being explored with partners to have a further impact on intervening to prevent homelessness; this includes joint working with social care teams, hospitals, landlords and social housing providers. Prevention activity is monitored on a monthly basis and discussed with the Portfolio holder.
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.  Increased provision of affordable housing.  Increase in the amount of successful prevention cases  Dedicated resource to tackle prevention of homelessness.  Take forwards plans for the Council to intervene in the market to provide affordable housing.	Monitoring throughout 2017/18 Government P1E quarterly returns.	<b>July 2018</b>  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  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.	<b>July 2018</b>  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, monitoring of this plan will take place at regular intervals throughout 2018/19. A strategic group has been established to identify works streams that will contribute towards reducing rough sleeping. Partners are engaged via the homelessness forum to work constructively to provide sustainable and appropriately 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. Medway has successfully bid for funding via the Rough Sleeping Initiative and will be working to roll out a range of initiatives from July 2018. In June 2018 the Council was awarded £410,000 to develop a range of initiatives to assist rough sleepers to secure accommodation. Initiatives are currently being mobilized and progress is being reported to MHCLG on a regular basis
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	<p>Adoption of a Dynamic Purchasing System (DPS) for the Council to secure accommodation in the Private Sector.</p> <p>Effective/Accurate Budget Monitoring</p> <p>Further increase options for lower cost TA provision.</p> <p>Implement a “tenancy management” type structure for management of TA – Maximising the income achieved via Housing Benefit</p> <p>All private sector accommodation secured via the DPS.</p> <p>Minimise rise in price for TA units in the private sector</p> <p>Increase the supply of accommodation provided in the HRA</p> <p>Emergency use only for TA Provision that is outside of usual pricing structure.</p>	<p>Monitoring throughout 2017/18</p> <p>Government P1E quarterly returns.</p> <p>Budget Monitoring</p>	<p><b>July 2018</b></p> <p>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 as 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.</p>
<b>Opportunities and the way forward</b>				

- Further opportunities could be explored to diversify the type of temporary accommodation needed for use by the Council. This will need capital investment, but would limit the amount of funding lost to the private sector.
- Opportunities may be available to increase the amount of prevention of homelessness support offered by the Council by utilising the existing temporary accommodation budget.

<b>CORPORATE RISK: SR36 Alternative service delivery models</b>		<b>RISK OWNER: Corporate Management Team</b>	
		<b>Portfolio: Leader's</b>	
<b>Inherent Score: BII</b>	<b>Target Residual Score: CIII</b>	<b>Last Review: July 2018</b>	<b>Current Residual Score: BIII</b>
<p><b>Threat / Inherent Risk</b></p> <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 and building resilience.</p> <p>A lack of robust management of these delivery models can lead to underperformance. The new models have increased and more complex governance arrangements than traditional in-house delivery.</p>		<u>Score</u> BII	<p><b>Triggers</b></p> <ul style="list-style-type: none"> <li>Weak options appraisals/businesses cases; opportunities overstated as commercial markets are not realised, and risks understated.</li> <li>Failure to effectively manage (staffing, relationships, agreements/contracts) the transition between the council and the service delivery model.</li> <li>Limited due diligence conducted on new service provider or key individuals in that provider.</li> <li>Weak or unclear agreements/contract and governance arrangements.</li> <li>Failure of a provider, risking failure to deliver services.</li> <li>Weak or ineffectual oversight / management / monitoring by the council as expertise is transferred to the new delivery model.</li> <li>Failures in governance that expose untreated risk.</li> </ul> <p><b>Consequence</b></p> <ul style="list-style-type: none"> <li>Failure to meet statutory responsibilities to residents.</li> <li>Unexpected costs from new delivery model.</li> <li>Delivery model not sustainable; responsibility for delivery of function unexpectedly transfers back to the council.</li> <li>Reputation of council damaged by activities of delivery model.</li> <li>Council or delivery model expectations not met by new arrangements.</li> <li>No option to renegotiate terms if circumstances change.</li> <li>Reduced influence / control of the council.</li> <li>Delivery model operates at a loss with deficit met from local taxation</li> <li>Failure to effectively manage the transition between the existing delivery model for SEN Transport and a new Service Delivery Model being implemented for 2018/19.</li> </ul>
<p><b>Current Residual Risk</b></p> <p>All alternative delivery models are required to produce business cases</p>		<u>Score</u> BIII	<p><b>Target Residual Risk</b></p> <p>Ultimately as these alternative delivery models embed, the Council</p>
			<u>Score</u> CIII

<p>that are considered at Corporate Management Team and then by Cabinet.</p> <p>The performance of these models is regularly reviewed by Cabinet and scrutinised by the relevant Overview and Scrutiny Committee.</p> <p>Where issues arise these can also be discussed at Corporate Management Team, where this is a standing agenda item.</p> <p>Underperformance is identified by client side officers or Members and mitigating action is taken or expected.</p> <p>The effect of the action to date has been to develop a smooth transition and improve working relationships and clarify and confirm savings and consequences. This policy change has been a challenge to both parental expectations and operational processes and response.</p>		<p>will be looking for increased revenue income and higher levels of performance.</p>	
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**MITIGATION**

Ref: Action	Lead Officer	Desired Outcome: Expected Output	Milestones	Progress update
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.	<b>July 2018</b> H&S Schools Service will be transferred to MCG as of 1 Sept 2018
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	<b>July 2018</b> 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. Since these transfers there have been no additional movements of shared services. The Council is working with Norse to mobilise the new arrangements around waste collection from 2019.
SR36.03  Communication & stakeholder management	Relevant Assistant Director for each Service	Stakeholders informed / consulted  Smooth transition into new delivery model	Ad hoc as necessary	
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	

				Norse are reviewing their operational practices to improve service operational agreements with the Council.
SR36.05 Robust scrutiny / oversight mechanisms to ensure clear corporate understanding	Corporate Management Team	Delivery model and council held accountable for quality and cost of service  Council able to rely on financial information for robust financial planning  High performance Financial resilience	Ad hoc as necessary	<b>July 2018</b>  CMT has considered proposals for alternative delivery models before they are reviewed at Cabinet including the creation of the Medway Development Company Limited and Medway Growth. 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.
SR36.06 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	
SR36.07 Business continuity arrangements	AD Transformation	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	<b>July 2018</b>  Business Continuity and risk management discussions with Medway Norse and Medway Commercial Group take place at contract management meetings.
SR36.08 Manage the transition between the existing delivery model for SEN Transport and a new Service Delivery Model being implemented for 2018/19 .	AD Partnership Commissioning	Transport arranged in a safe and timely way for school start in September.  Cost savings delivered for academic year by consolidation of routes 2018/19 .  Maintenance of ongoing positive relationships with parents and providers.  Service re-procured for September 2019.  Transition plan for 2018/19 with clear agreed milestones.	As per transition plan and procurement plan	<b>July 2018</b>  The new service model has been driven by the need to reduce costs while protecting service delivery.  The existing model is predominantly vehicle transport operated by Norse and a number of other providers; the new Service Delivery Model is a shift to personal travel budgets and travel training. The development of this alternative model is as a result of the new SEN Transport policy agreed by Cabinet in 2018. We expect the shift away from vehicular transport to take further effect in subsequent years after the re-procurement of SEN Services for academic year 2019/20 .

		Adherence to re-procurement timelines and milestones		
<b>Opportunities and the way forward</b>				
There are opportunities to consider further services that would fit the alternative deliver model.				

<b>CORPORATE RISK: SR27 Government changes to Local Authority's responsibility for schools</b>		<b>RISK OWNER: Director of Children and Adults</b>		
		<b>Portfolio: Children's Services (Lead Member) Portfolio</b> <b>Educational Attainment and Improvement Portfolio</b>		
<b>Inherent Score: BII</b>	<b>Target Residual Score: CIII</b>	<b>Last Review: July 2018</b>		<b>Current Residual Score: CII</b>
<b>Threat / Inherent Risk</b> Councils are accountable for the outcome of performance of maintained schools but have reducing 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.		Score CII	<b>Trigger</b> <ul style="list-style-type: none"> <li>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.</li> </ul> <b>Consequence</b> <ul style="list-style-type: none"> <li>Impact on children and families of being in a school that fails to provide quality provision.</li> <li>Performance ratings as measured through Ofsted reports and Performance tables impact on parental and community confidence.</li> <li>Financial consequences.</li> <li>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.</li> <li>Reputational damage</li> <li>Impact on statutory responsibilities and regulatory judgement.</li> <li>Progress and progression for children &amp; young people are impacted negatively.</li> <li>Young people fail to achieve their potential</li> </ul>	
<b>Current Residual Risk</b> A plan of school improvement visits to target schools at risk of going into a category has proved successful. There remain key areas where further		Score CII	<b>Target Residual Risk</b> Previous restructuring and budget reductions limit the level of resource to be allocated to target schools in danger if entering a	Score CIII

<p>work and support is required.</p> <p>A funded programme to support targeted primary schools in respect of inclusion.</p> <p>Close liaison between internal Council departments.</p>		<p>category. Young People in a underperforming school are at risk of not achieving their potential. Ongoing academisation will move the Council into a changing role and the relationship with the RSC will become more important as they are responsible for the performance of academies.</p>	
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**MITIGATION**

Ref: Action	Lead Officer	Desired Outcome: Expected Output	Milestones	Progress update
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)	<p>Schools results in line with or exceed nationally expected progress measures.</p> <p>School Challenge and Improvement Team support schools to identify actions needed to improve pupil progress.</p> <p>Data shows progress to be in line with similar schools nationally and then to be in upper quartile.</p> <p>Implementation of School Improvement Strategy.</p>	<p>Number of schools below floor threshold reduces</p> <p>Number of schools in an OFSTED category reduces and remains low.</p> <p>Number of coasting schools is low</p>	<p><b>July 2018</b></p> <p>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 indicates good progress has been made 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. This was 4 percentage points (7%) behind the national result of 62%. Last year the gap between national attainment and Medway was 6pp (11%). As such Medway has closed the gap to national by about a third. Medway has climbed 8 places in the LA rankings compared to 2016 and is now ranked 115th. 4 of 17 secondary schools inspected are outstanding, 10 are good and 3 require improvement. In the same Quarter, last year 11 schools were good and 4 outstanding. Significant work is being done with the single maintained school that is below the standard expected. This includes focus on: Senior leadership capacity, middle leaders – subject by subject, better all round standards of teaching and method and support for inclusion. 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).</p>
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)	<p>Schools move up from requires improvement to Good and from Good to Outstanding.</p> <p>Core SCI training developed and delivered in a targeted way.</p> <p>OFSTED preparation in place for Senior Leadership Team (SLT) and Governors.</p> <p>NLES and LLEs linked to schools to give additional experience to draw on for delivering good and better practice.</p> <p>Work closely with the teaching</p>	<p>OFSTED judgements place more schools in the Good or Outstanding categories.</p>	

		<p>school alliances to develop leadership and improve the quality of teaching across subject areas.</p>	<p>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.</p> <p>Medway continues to maintain a high percentage of special schools in Medway judged to be good or better with three schools remaining outstanding, one good and one inadequate.</p> <p>A new School Improvement Strategy for 2017-2019 has been consulted on with school leaders and this will start moving through the Council's governance in the next period.</p> <p>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.</p> <p>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</p> <p>With funding secured from the RSC a targeted programme of support has been developed to target specific schools with high exclusion rates within the primary sector.</p>
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<b>Opportunities and the way forward</b>
New school Improvement Strategy

<b>CORPORATE RISK: SR17 Delivering regeneration</b>		<b>RISK OWNER: Director of RCET</b>	
<b>Portfolio: Inward investment, strategic regeneration and partnerships</b>			
<b>Inherent Score: BII</b>	<b>Target Residual Score: TBC</b>	<b>Last Review: July 2018</b>	<b>Current Residual Score: CII</b>
<p><b>Threat / Inherent Risk</b></p> <p>Medway's regeneration plans seek to meet the needs of anticipated population growth of 50,000 people in Medway, with 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, health and water capacity.</p> <p>It is vital the benefits are felt by the population of Medway, so that the new jobs are not only filled by people from outside the area, and trends of commuting out are addressed.</p> <p>Economic uncertainty could delay regeneration and growth, impacting on strategic decisions and inward investment.</p>	<p><b>Score</b></p> <p>BI</p>	<p><b>Trigger</b></p> <ul style="list-style-type: none"> <li>The Council fails to deliver its economic, social and infrastructure regeneration programme.</li> <li>House/property building companies start to delay developments.</li> <li>Potential lack of companies wanting to locate in Medway.</li> </ul> <p><b>Consequence</b></p> <ul style="list-style-type: none"> <li>Regeneration projects not completed.</li> <li>Potential damage to Council's reputation.</li> <li>Not able to meet member, government and the public's expectations.</li> <li>Deteriorating physical and infrastructure assets.</li> <li>Investment wasted.</li> <li>Young people are not catered for in the 'new world'.</li> <li>Low skills base among some residents remains.</li> <li>Disconnect between skills and employment opportunities.</li> <li>Maintenance of low aspiration culture.</li> <li>Increased commuting and pressure on transportation.</li> <li>Negative impact on community cohesion.</li> </ul>	
<p><b>Current Residual Risk</b></p> <p>The Regeneration programme and in particular Innovation Park Medway and the flag ship water front developments are managed at Member, officer and partner level through individual boards and the projects are managed at a more operational level through officer groups and RCET DMT.</p> <p>Those schemes funded through the LEP also have to adhere to a rigorous reporting process to ensure that they are on time and within budget.</p>	<p><b>Score</b></p> <p>CII</p>	<p><b>Target Residual Risk</b></p> <p>Failure by the Council to deliver its ambitious regeneration plans would have a critical impact in Medway, by not delivering the housing, jobs and infrastructure required for its growing population. There is little that can be done to lessen this <i>impact</i> and so the focus must be on reducing the <i>likelihood</i> of failure to a more tolerable level.</p>	<p><b>Score</b></p> <p>DII</p>

MITIGATION				
Ref :Action	Lead Officer	Desired Outcome :Expected Output	Milestones	Progress update
SR 17.01 Outline infrastructure needs identified.	Director of RCET	Identification of inward investment priorities.  Progressing key regeneration sites and infrastructure plan jointly with KCC.  Production of Infrastructure Delivery Plan (IDP) to support Local Plan.	Secure funding; 20 year developmt programme Preparation of IDP to support submission of Local Plan – March 2019.	<b>July 2018</b>  We have passed the initial assessment phase for our £170M HIF bid which could fund the infrastructure required to unlock significant development potential on the Hoo peninsula and wider regeneration sites. Investment in strategic infrastructure would be needed to achieve the scale of development needs for homes and jobs identified in the Local Plan. LGF funded projects (with a combined value of over £40m) continue to make a major contribution to infrastructure delivery, for example, at the Innovation Park Medway. Key regeneration sites are progressing to plan, with construction well underway at Rochester Riverside, and flood defense works having commenced at Strood Waterfront.
SR 17.02 Homes England) alerted to the impact of lack of funding and dialogue opened with External Partners.	Director of RCET	Homes England confirm any funding commitment to projects and plans for their sites  Funding identified to continue regeneration.	Regen. projects agreed with Members	<b>July 2018</b>  Homes England were a key contributor to the Council's HIF bid and were supportive of our submission. This support will continue during the co-development of the Business Case submission in either December 18 or March 19 (subject to senior management and member steer). In addition, Homes England has expressed a keen interest in supporting the Moat- and Orbit-led Kingswear Gardens project which could unlock additional homes in Strood. Meetings have been set up to have four-way dialogue between Medway Council, Moat, Orbit and Homes England.  There is a dedicated External Investment Officer in the Regeneration Delivery Team, and an External Investment Working Group with cross-service attendance, which identifies funding opportunities and prioritises bids based on Member and strategic priorities. This is reflected in a pipeline list of projects.

SR 17.04 Regular meetings with stakeholders including developers to lever in external funding and bring forward transformational programmes.	Director of RCET	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.	<p><b>July 2018</b></p> <p>Homes England were a key contributor to the Council's HIF bid and were supportive of our submission. This support will continue during the co-development of the Business Case submission in either December 18 or March 19 (subject to senior management and member steer). In addition, Homes England has expressed a keen interest in supporting the Moat- and Orbit-led Kingswear Gardens project which could unlock additional homes in Strood. Meetings have been set up to have four-way dialogue between Medway Council, Moat, Orbit and Homes England.</p> <p>There is a dedicated External Investment Officer in the Regeneration Delivery Team, and an External Investment Working Group with cross-service attendance, which identifies funding opportunities and prioritises bids based on Member and strategic priorities. This is reflected in a pipeline list of projects.</p>
SR 17.05 Working with the Local Enterprise Partnership to attract funds to Medway.	Director of RCET	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.	<p><b>July 2018</b></p> <p>Medway has made successful bid submissions to the SELEP for eight projects, totaling over £40m of funding across three bidding rounds. Following announcement of an expected additional call for submissions over the summer, a small team of officers are developing the pipeline list of projects for submission via KMEP (following approval by senior officers and elected members). This could include a second phase of placemaking works for Chatham town centre. The £650K GPF application for the Innovation Park Medway will be separately considered by SELEP's Accountability Board in September.</p>
SR17.06 Working towards the adoption of the new Medway Local Plan	Director of RCET	New Local Plan and Planning Policy Guidance adopted to guide Medway's sustainable growth.  To prepare the Medway Local Plan	Consultation completed June 2018	<p><b>July 2018</b></p> <p>Consultation on the Regulation 18 Development Strategy stage of the emerging Local Plan was carried out between March and June 2018. Work continues on</p>

		and as outlined in the Local Development Scheme published 2018	Draft Local Plan Nov /Dec 2018 Submit draft plan in Summer 2019 Anticipated adoption 2020	producing a comprehensive and robust evidence base for the plan, including a Strategic Transport Assessment, and associated Air Quality impacts; town centre masterplans and delivery strategies to promote regeneration opportunities in Chatham, Strood and Gillingham; Development Framework to assess and guide potential development of a rural town focused around Hoo; and preparation of an Infrastructure Delivery Plan.
SR17.07 To seek additional external funding opportunities	AD PCR	Ensuring Medway's Regeneration programme is delivered. Additional funding streams identified and secured.	Secure funding for Council owned sites.	<b>July 2018</b> The External Investment Working Group continues to meet regularly to identify and progress external funding opportunities. This quarter has seen the submission of a £920K bid to the Coastal Communities fund, and the announcement of our £170m first stage success with the Housing Infrastructure Fund bid for the Hoo Peninsula. The redevelopment of Britton Farm Mall is being supported by an £800K bid from the Business Rates Retention Pilot fund. Other bids anticipated for the current financial year include the Public Health Innovation Fund, Coastal Revival Fund, Ultra Low Emission Bus Scheme, Heritage Actions Zones, Energy Saving Trust and Interreg.
SR17.08 Submission of a successful Business Case for Housing Infrastructure Fund (HIF) funding for the peninsula	AD PCR	Delivering major infrastructure improvements to unlock the potential of the Hoo peninsula. £170m secured via a successful Business Case submission.	Business case submitted either December 18 or March 19 Decision 4 months post submission.	<b>July 2018</b> Our initial submission to the Housing Infrastructure Fund was successful and we have been invited to submit a full Business Case for our £170m infrastructure project. The Business Case is being developed by officers, with external support being sought for key technical areas. It will be submitted in either December 18 or March 19 (subject to senior management and member steer).
<b>Opportunities and the way forward</b>				

The current regeneration programme is large and is being supplemented by the programme of works planned by Medway Development Company and the partnership with Norse Commercial Services. This means that the Council's capacity is already stretched, however the Council has demonstrated its appetite for a 'mixed economy' of approaches to deliver regeneration and new opportunities are being explored with other partners, including private sector organisations.

<b>CORPORATE RISK: SR21 Procurement savings – capacity and delivery</b>			<b>RISK OWNER: Chief Legal Officer</b>				
			<b>Portfolio: Resources</b>				
<b>Inherent Score: All</b>	<b>Target Residual Score: DIII</b>		<b>Last Review: July 2018</b>		<b>Current Residual Score: CII</b>		
<b>Threat / Inherent Risk</b> <p>Inability to continue identifying contract and commissioning savings. Agreed contract and commissioning savings identified in the budget are not delivered. Insufficient capacity to deliver savings to the agreed timetable -</p>			<u>Score</u> All	<u>Trigger</u> <ul style="list-style-type: none"> <li>Budget pressures</li> <li>Audit reviews reveal weaknesses.</li> <li>Market inflationary pressure on prices</li> </ul> <u>Consequence</u> <ul style="list-style-type: none"> <li>Council does not achieve value for money.</li> <li>Damage to reputation.</li> <li>Increased costs of purchasing services.</li> <li>Not achieving cost efficiencies.</li> <li>Overspend on budget allocation.</li> <li>Failing to achieve Members' expectations.</li> </ul>			
<b>Current Residual Risk</b> <p>The liaison between Category Management teams and services is working well. Procurement Board maintains a member oversight of procurement and category management activity. Services are maintaining strong monitoring of their general savings delivery including those that are linked to procurement activity. Cabinet and Corporate Management Team is reviewing and challenging regularly the delivery of savings against targets, including those linked to procurement activity. The Category Management approach the Council takes is now business as usual.</p>			<u>Score</u> CII	<b>Target Residual Risk</b> As external income sources materialise and other revenue savings are embedded the Council remains committed to a robust category management approach which is part of strong budgetary control. However, there is not the same reliance on this as a source of relieving revenue pressure.	<u>Score</u> DIII		
<b>MITIGATION</b>							
<b>Ref :Action</b>	<b>Lead Officer</b>	<b>Desired Outcome :Expected Output</b>		<b>Milestones</b>	<b>Progress update</b>		
SR 21.01 Cabinet and Corporate	Chief Finance Office	To deliver budget savings to an agreed timetable		Budget out-turn	July 2018 Quarterly financial monitoring including monitoring of		

Management Team joint review of agreed budget savings and timetable	Chief Legal Officer	Budget quarterly monitoring		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. Directorate Management Teams review the performance of savings delivery in year
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	<b>July 2018</b>  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.
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.	On-going	<b>July 2018</b>  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. Partnership Commissioning have been providing regular updates to relevant portfolio holders on current procurements including VCS, MICES and SEN Transport.
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	On-going	<b>July 2018</b>  As an example, 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 Good liaison with suppliers to continue to identify realistic	Chief Legal Officer Partnership	Good regular engagement with suppliers. Regular discussions about performance and savings.	On-going	<b>July 2018</b>  Supplier engagement events are held throughout the year where appropriate linked to specific procurement

savings.	Commissioning (AD)	Contract management data		exercises
<b>Opportunities and the way forward</b>				
There may be opportunities to share procurement resources with other Councils.				

<b>CORPORATE RISK: SR32 Data and Information</b>		<b>RISK OWNER: Chief Legal Officer</b>	
		<b>Portfolio: Adrian Gulvin</b>	
<b>Inherent Score: BII</b>	<b>Target Residual Score: DIII</b>	<b>Last Review: July 2018</b>	<b>Current Residual Score: CII</b>
<p><b>Threat / Inherent Risk</b></p> <p>Our Transformation Programme involves an increased reliance on digital technology both for customers and the Council. This brings with it an 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> <p>Greater flexibility for the workforce using digital tools brings risk.</p> <p>Greater availability of information from the Council brings risk.</p>	<u>Score</u> BII	<p><b>Trigger</b></p> <ul style="list-style-type: none"> <li>Budget pressures</li> <li>ICO Audit reveals areas for improvement</li> <li>Digital Strategy</li> <li>Big Data project with academics</li> <li>Annual information governance toolkit submission</li> </ul> <p><b>Consequence</b></p> <ul style="list-style-type: none"> <li>Data loss leads to damage to reputation.</li> <li>Not achieving cost efficiencies through Digital Strategy changes</li> <li>Failing to achieve Members' expectations.</li> <li>Failing to find new innovations</li> <li>Failing to deliver good quality care for residents of Medway</li> </ul>	
<p><b>Current Residual Risk</b></p> <p>The Council has a Senior Information Risk Officer (SIRO) and a Caldicott Guardian.</p> <p>The Council has a Data Protection Officer.</p> <p>The Council manages information risk through a Security and Information Governance Group (SIGG).</p> <p>The Council has a suite of information governance policies.</p> <p>The Council has information sharing agreements and protocols in place.</p> <p>The Council has taken part in a "Big Data" project without any risks</p>	<u>Score</u> CII	<p><b>Target Residual Risk</b></p> <p>Human error is completely eradicated from data and information scenarios.</p> <p>Data breaches are very rare.</p> <p>Information sharing is commonplace and well managed.</p>	<u>Score</u> DIII

materialising. Training to all officers and to Members is being rolled out successfully.				
<b>MITIGATION</b>				
Ref: Action	Lead Officer	Desired Outcome :Expected Output	Milestones	Progress update
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.	<b>July 2018</b>  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  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	<b>July 2018</b>  The Information Governance Manager is maintaining a central register of agreements.
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	<b>July 2018</b>  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  Meetings between Senior Information Risk Officer and Caldicott Guardian on specific risks	Chief Legal Officer	Good regular engagement to discuss risk areas  PIAs, ISAs and SOPs co-signed where relevant	Ad hoc as and when required.	<b>July 2018</b>  Liaison between the SIRO and Caldicott Guardian has taken place in relation to relevant risk areas.
SR32.05  New Information Governance (IG) team created to augment the	Chief Legal Officer	Improved control around IG and other related issues.  FOI and SAR statistics	On-going	<b>July 2018</b>  Recruitment is proceeding.

Council's response to IG		Periodic ICO audits Annual IG Toolkit submission GDPR readiness		
<b>Opportunities and the way forward</b>				
As the current round of training to officers and Members embeds the risks associated with information governance should reduce.				

<b>CORPORATE RISK: SR02 Business continuity and emergency planning</b>			<b>RISK OWNER: Director of RCET</b>				
			<b>Portfolio: Business management (cross cutting)</b>				
<b>Inherent Score: EI</b>	<b>Target Residual Score: DII</b>		<b>Last Review: July 2018</b>	<b>Current Residual Score: DII</b>			
<p><b>Threat / Inherent Risk</b></p> <p>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.</p> <p>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.</p>			<b>Score</b> EI	<p><b>Trigger</b></p> <ul style="list-style-type: none"> <li>A significant adverse event occurs and the Council is found wanting or negligent in its planning and/or operational response.</li> </ul> <p><b>Consequence</b></p> <ul style="list-style-type: none"> <li>Response to event is not rapid, adequate nor effective.</li> <li>Lack of clear communication lines</li> <li>Essential service priorities not clearly understood.</li> <li>Communication between agencies and the public is poor.</li> <li>Residents expect more from their Council</li> <li>Local press quick to seize issue.</li> <li>Comparisons made with other local authorities and resilience groups</li> <li>A death, or deaths, in the community</li> </ul> <p>Legal challenge under the 'Civil Contingencies Act 2004'</p>			
<p><b>Current Residual Risk</b></p> <p>The Emergency 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.</p> <p>An annual presentation on Business Continuity is included at Service Managers Meeting.</p> <p>Assistant Directors are responsible for ensuring that the testing of business continuity plans has taken place. Testing to date has been completed during live incidents.</p> <p>The Corporate Business Continuity Plan is currently being refreshed and is aligned to the Emergency Plan.</p>			<b>Score</b> DII	<p><b>Target Residual Risk</b></p> <p>The Council will never be able to reduce the risk further as it is impossible to completely mitigate unforeseen adverse events.</p> <p>The Council needs to consistently complete hard and soft testing of its business continuity plans to ensure it achieves and maintains the DII risk scoring.</p>	<b>Score</b> DII		
<p><b>MITIGATION</b></p>							
Ref :Action	Lead Officer	Desired Outcome Expected Output	Milestones	Progress update			
SR 02.01 Continue to develop the Council's	Director of Regeneration	Revised plan agreed by CMT Continued engagement with Kent	Draft plan update in	<b>July 2018</b> The result of an internal audit review of the Council's			

Emergency Plan.	n, Culture, Environment & Transformation	<p>Resilience Forum</p> <p>Staff trained in emergency response management at all levels</p> <p>A sustainable and robust on call rota in place at all levels</p> <p>-Existing plan in place - Programme of on-going review of COMAH plans - Emergency response operations room in place.</p> <p>On call rota in place covering all roles &amp; responsibilities 24/7.</p>	<p>place.</p> <p>Call out arrangements in place covering all roles &amp; responsibilities 24/7</p> <p>- Relevant staff training during 2018.</p>	<p>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. Assistant Director Front Line Service will be presenting a report to Corporate Management Team on lessons identified during recent emergency incidents e.g. flood, snow.</p>
SR 02.02 Business continuity plans completed to implement the actions.	Director of Regeneration, Culture, Environment & Transformation	<p>All services will have an up-to-date and tested Business Continuity Plan.</p> <p>BCM Policy agreed.</p> <p>BCM principles and training provided to divisional management teams across the Council ongoing. A Corporate Recovery Plan.</p> <p>IT Recovery Plan in place.</p> <p>Draft flu plans in place.</p> <p>Winter preparedness plans in place.</p>	<p>Plans tested.</p> <p>BC Audit 2017 recommendations to be completed in 2018.</p>	<p><b>July 2018</b></p> <p>A dashboard to monitor business continuity plans is overseen by the Strategic Risk Management Group and reported six monthly to Corporate Management Team as part of the Corporate Risk Register. Assistant Directors are responsible for ensuring that the testing of plans has taken place. An annual presentation on Business Continuity is included at Service Managers Meeting; the next is planned for September 2018. Service Managers are responsible for making staff aware of their Service Business Continuity Plan and their roles and responsibilities within it. This also forms part of the induction for all new staff. The revised initial draft of the corporate business continuity plan will be presented to Strategic Risk Management Group on 26 June 2018.</p>

<b>CORPORATE RISK: SR33 Impact of Welfare Reform</b>		<b>RISK OWNER: Chief Finance Officer</b>	
		<b>Portfolio: Leader's</b>	
<b>Inherent Score: CII</b>	<b>Target Residual Score: DIII</b>	<b>Last Review: July 2018</b>	<b>Current Residual Score: DII</b>
<p><b><u>Threat / Inherent Risk</u></b></p> <p>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 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. It has been difficult to predict the impact these reforms have had on resources.</p>	<p><b>Score</b> CII</p>	<p><b><u>Triggers</u></b></p> <p>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:</p> <ul style="list-style-type: none"> <li>• Changes to tax allowances and thresholds;</li> <li>• Reform of benefits (eg. Universal Credit, the cap);</li> <li>• Changes in eligibility for social housing;</li> <li>• Introduction of the living wage;</li> <li>• An influx of both identified and unidentified customers.</li> </ul> <p><b><u>Consequence</u></b></p> <ul style="list-style-type: none"> <li>• Impact on some of the most vulnerable citizens;</li> <li>• Consequent impact on demand for core council services;</li> <li>• Transfer of additional responsibilities to local authorities</li> <li>• Direct and indirect impacts on council staffing resources.</li> <li>• Direct Impact on Rent Income Stream to HRA</li> <li>• Increase in homelessness/Evictions Negative local publicity and reputational damage.</li> <li>• Unidentified customers impacted by the welfare reform presenting to the Council too late to prevent homelessness</li> </ul>	
<p><b><u>Current Residual Risk</u></b></p> <p>The Member Task Force recommended establishment of an officer working group to facilitate cross-directorate working and improved partnership working with the DWP, housing associations and the voluntary sector to understand the issues arising from the welfare reform agenda and identify actions to mitigate the impact on vulnerable people and the implications for Council services.</p> <p>The Council's partnership with the DWP has focussed on the 'assisted digital' offer and on supporting and sign-posting people affected by these changes with personal budgeting advice.</p> <p>There has also been a concerted programme of awareness raising, information sharing and training for officers, Members and partners.</p>	<p><b>Score</b> DII</p>	<p><b><u>Target Residual Risk</u></b></p> <p>The aim of working closely with partners must be to reduce the likelihood of the reforms impacting on vulnerable people to keep the numbers affected as low as possible, but more importantly to reduce the impact on this population to a marginal level.</p> <p>This can be achieved by ensuring that the right support and services are in place for vulnerable people, but this will only be effective if we have a clear and comprehensive picture of the population affected and can ensure that they are aware of and can access the services available to them.</p>	<p><b>Score</b> DIII</p>

MITIGATION				
Ref :Action	Lead Officer	Desired Outcome :Expected Output	Milestones	Progress update
SR 33.01 Provide direct financial support for the most vulnerable members of the community.	Chief Finance Officer	Customers are able to sustain tenancies and mortgages. Families remain resilient and less likely to need Council services. Administration of the following: <ul style="list-style-type: none"><li>• Council tax reduction scheme;</li><li>• Discretionary relief scheme;</li><li>• Enhanced housing benefit;</li><li>• Welfare provision.</li></ul>	Reduced number of customers presenting for reasons of homelessness.  Reduced KPI: rent arrears as % of rent debit.	<b>July 2018</b> NI 156: households in temporary accommodation is within target with an improving long and short term trend.  HC3: households in B&B with dependent children is within target.  Tenant arrears is on target with an improving long and short term trend.
SR 33.02 Establishment of the Welfare Reform Officer Group, to take forward the conclusions of the Welfare Reform Members Task Group.	Chief Finance Officer	Working across directorates and with partners to provide a joined up approach to meeting the challenges the welfare reform poses for our customers.  Establishment of a Welfare Reform Officer Group to produce and deliver an action plan in response to the findings of the Welfare Reform Members Task Group.  Regular reporting to BSD O&S.	Monitor the action plan and provide six monthly update reports to BSD O&S Committee.	<b>July 2018</b> The Officer Welfare Reform Group meets quarterly and last reported to the Business Support Overview and Scrutiny Committee in April 2018.  The original action plan was largely delivered and the work streams have evolved: <ul style="list-style-type: none"><li>- Information, advice and guidance;</li><li>- Communications and digital working;</li><li>- Roll out of Universal Credit;</li><li>- Local welfare provision;</li><li>- The work / skills programme.</li></ul>
SR 33.03 The provision of and referral to money advice services.	Chief Finance Officer	Customers have access to free and independent advice, to assist them in personal budgeting and managing debt.  Specification for service provision. Consider options and commission services.	Number of referrals made to new service	<b>July 2018</b> A variety of approaches used, including in-house and voluntary sector providers, but meeting the Council's obligations under the partnership agreement with the DWP for Universal Credit customers.

		Publicity and sign-posting to service		
SR 33.04 Closer working with the DWP in relation to the implementation of Universal Credit.	Chief Finance Officer	<p>Deliver the Council's commitments in terms of the Delivery Partnership Agreement.</p> <p>Undertake joint working arrangements with DWP.</p> <p>Undertake joint publicity and signpost UC claimants to the DWP.</p> <p>Support claimants with the online application.</p> <p>Formalise debt advice services.</p>	<p>Number of joint events held with partners to promote Universal Credit</p> <p>Numbers using the assisted digital offer</p> <p>Numbers referred to debt advice services.</p>	<p><b>July 2018</b></p> <p>Successful roll out of Universal Credit for families from May 2018. Delivery of debt advice and assisted digital services monitored and reported in accordance with the Partnership Agreement.</p> <p>Comprehensive programme of training delivered with DWP colleagues to officers, Members and other partners.</p> <p>Assisted Digital Service (ADS) now offered at hubs/libraries throughout Medway. Take-up initially low but beginning to increase due to promotion through Partnership</p> <p>3 trained members of the council's Benefit staff have commenced Personal Budgetary Support (PBS) to customers. This is by appointment and held at Job Centre Plus office every Thursday. 29 referrals have taken place since July 2018</p>
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	Head of the HRA	<p>The Council needs to have a clear understanding of future viability of HRA business plan, allowing the Council to plan effectively for the future provision of the service.</p> <p>Review of the business plan once the Housing and Planning Bill has been</p>	<p>Monitoring of Business Plan annually</p> <p>Quarterly budget</p>	<p><b>July 2018</b></p> <p>The HRA Business Plan was last revised and submitted to Members in February 2018 as part of the overall HRA rent and budget setting process.</p> <p>Whilst it remains legislation, there has still been no further information from the Government on the higher</p>

Housing Bill.		<p>passed and the high value subsidy figure is announced (expected June 2016)</p> <p>Consult on the plan with HRA tenants and present to BSD O&amp;S.</p>	<p>monitoring. O&amp;S report on revised HRA business plan – October 2016</p>	<p>value subsidy arrangements and Members chose not to reflect this risk in the revised 30 year Business Plan.</p> <p>The plan reflects assumptions about the risk of increase in arrears and bad debt, resulting from roll out of UC.</p> <p>Very recently the Government announced that the full migration to Universal Credit will not be required until 2023, rather than the original date of 2020.</p> <p>In terms of the 1% rent reduction, the third year of four was implemented from April 2018 and the Government have confirmed that local authorities will be able to increase rents once again from April 2020 by CPI plus a maximum of 1% above this rate. The revised HRA business plan has accounted for this.</p>
SR 33.06 Delivery of the Employment Programme	Manager of 'Employ Medway'	<p>Support long term unemployed people into sustained employment.</p> <p>Generate reward grant to fund activity.</p>	<p>Targets set under the programme</p>	<p><b>July 2018</b></p> <p>Between August 2009 and January 2018 Employ Medway supported 2,100 long term unemployed into work. The programme alone has resulted in 15,447 months reduction in benefit payments with an estimated value of £9.2 million. These figures only reflect tracking of a customer in work for two years and so would not reflect the full extent of savings achieved beyond this point.</p> <p>Going forward, the Work Programme is to be superseded by the Work and Health programme. The DWP have awarded the contract to one prime contract holder in each area. Shaw Trust will be responsible for the home counties and whilst they plan to deliver part of the programme directly themselves, Employ Medway's performance has resulted in it being selected as the only supply chain partner in Kent. This sub-contract will be worth around £1.6 million over the next five years and will support those furthest from the labour market.</p>

SR 33.07 Delivery of the Local Welfare Provision service	AD Partnership Commissioning	Provision of funds to people in urgent need of support, to prevent the requirement for statutory services with more significant needs and problems.	Regular reporting of how funds are used	<b>July 2018</b> Medway's discretionary welfare provision is being delivered by a new service commissioned from IMAGO Community. The monthly allocation is usually around £1,500 per month Although January 2018 was heavier at nearly £2,400 with the largest award being £445. In addition IMAGO provide "added value" to this work through allocating donated clothing and other items through their charity outlets, this usually amounts to an added value of £400 per month. In January this was just under £800.
<b>Opportunities and the way forward</b>				
Use of Mosaic and Power BI to better understand the impact of the welfare reforms on the people of Medway.				