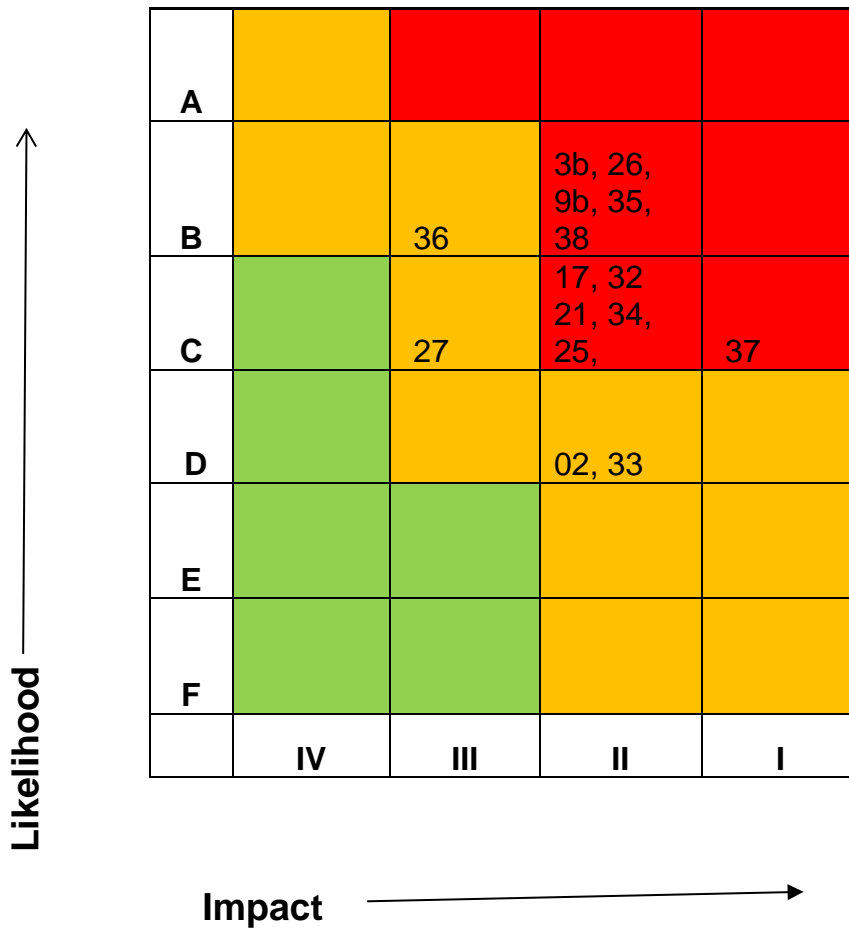


Medway Council Corporate Risk Register January – March 2019

Ref	Page	Risk	Owner	Inherent Risk Score	Current Residual Risk Score	Target Residual Risk Score	Movement	Definition (L-likelihood) (I-impact)
SR02	3	Business continuity and emergency planning	Director of RCET	C1	DII	DII	→	L - low I - critical
SRO3B	5	Finances	Chief Finance Officer	A1	BII	CIII	↓	L - high I - critical
SRO9B	8	Keeping vulnerable young people safe and on track	Director of C&A	BII	BII	BII	→	L - high I - critical
SR17	12	Delivering regeneration	Director of RCET	BII	CII	DII	↓	L - significant I - critical
SR21	16	Procurement savings – capacity and delivery	Chief Legal Officer	AII	CII	DIII	↓	L - significant I - critical
SR25	18	Adult social care transformation	Director of C&A	CII	CII	DII	→	L - high I - critical
SR26	23	Children's services	Director of C&A	AII	BII	BII	→	L - high I - critical
SR27	27	Government changes to Local Authority's responsibility for schools	Director of C&A	BII	CIII	CIII	→	L - significant I - critical
SR32	29	Data and information	Chief Legal Officer	BII	CII	DIII	↓	L - significant I - critical
SR33	31	Impact of welfare reform	Chief Finance Officer	CII	DII	DIII	↓	L - low I - critical
SR34	35	Successful delivery of the corporate transformation programme	AD Transformation	BII	CII	DII	↓	L - significant I - critical
SR35	41	Homelessness	AD Physical and Cultural Regeneration	BII	BII	CII	→	L - high I - critical
SR36	44	Alternative service delivery models	AD Transformation, Chief Legal Officer, Director of RCET	BII	BIII	CIII	↓	L - high I - Marginal
NEW: SR37	47	Cyber Security	AD Transformation	CI	CI	DI	N/A	L - Significant I - Catastrophic
NEW: SR38	50	Transfer of waste contract to Medway Norse	AD Front Line Services	AII	BII	EIII	N/A	L - high I - critical

Corporate Risk Profile



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

Key	
Low risk/priority	
Medium risk/priority	
High risk/priority	

Corporate Risk: SR02 Business continuity and emergency planning		Risk Owner: Director of RCET		
		Portfolio: Business management (cross cutting)		
Inherent Score: CI	Target Residual Score: DII	Last Review: December 2018	Current Residual Score: DII	
<p><u>Threat / Inherent Risk</u></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> <p>The change of council assets / responsibilities going to either commissioned or third party contractors, Medway Norse or Medway Commercial Group also provides unique challenges to the established Roles and responsibilities during planning and response to Emergency Events.</p>		<p><u>Score</u></p> <p>CI</p>	<p><u>Trigger</u></p> <p>A significant adverse event occurs and the Council is found wanting or negligent in its planning and/or operational response.</p> <p><u>Consequence</u></p> <ul style="list-style-type: none"> • Response to event is not rapid, adequate nor effective. • Lack of clear communication lines. • Essential service priorities not clearly understood. • Communication between agencies and the public is poor. • There is a perception by residents that the Council does not have a visible presence at the Incident. • Residents expect more from their Council. • Local press quick to seize issue. • Comparisons made with other local authorities and resilience groups. • A death, or deaths, in the community. • Legal challenge under the 'Civil Contingencies Act 2004'. 	
<p><u>Current Residual Risk</u></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 a meeting of all council Service Managers.</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>		<p><u>Score</u></p> <p>DII</p>	<p><u>Target Residual Risk</u></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>	<p><u>Score</u></p> <p>DII</p>

Mitigation				
Ref: Action	Lead Officer	Desired Outcome / Expected Output	Milestones	Progress update
SR 02.01: Continue to develop the Council's Emergency Plan	Director of Regeneration, Culture, Environment & Transformation	<p>Revised plan agreed by Corporate Management Team.</p> <p>Continued engagement with Kent 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.</p> <p>Programme of on-going review of COMAH plans.</p> <p>Emergency response operations room in place.</p> <p>On call rota in place covering all roles & responsibilities 24/7.</p>	<p>Draft plan update in place.</p> <p>Call out arrangements in place covering all roles & responsibilities 24/7.</p> <p>Relevant staff training during 2018.</p>	<p>July 2018</p> <p>The result of an internal audit review of the Council's Emergency Planning arrangements was 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.</p> <p>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. The Assistant Director Front Line Service presented 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>Business Continuity Management Policy agreed.</p> <p>Business Continuity Management principles and training provided to divisional management teams across the Council is ongoing.</p> <p>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>Business Continuity Audit 2017 actions completed in 2018.</p>	<p>December 2018</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 in September each year. 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.</p>
Opportunities and the way forward				

Corporate Risk: SR03B Finances		Risk Owner: Chief Finance Officer		
		Portfolio: Leader's		
Inherent Score: AI	Target Residual Score: CIII	Last Review: December 2018	Current Residual Score: BII	
<p><u>Threat / Inherent Risk</u></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>		<p><u>Score</u></p> <p>AI</p>	<p><u>Trigger</u></p> <p>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.</p> <p><u>Consequence</u></p> <ul style="list-style-type: none"> • Very difficult decisions around funding allocation; • Service cuts; • Quality of service compromised; • Cutback in staffing on an already lean organisation; • VFM Judgement; • Negative local publicity; • Damage to reputation. 	
<p><u>Current Residual Risk</u></p> <p>The medium term financial strategy agreed by Cabinet in September 2018 forecasted a budget shortfall of circa £3.2million for 2019/20. However, the provisional settlement announced on 13 December 2018 and following government announcements have significantly impacted the council's funding for 2019/20. The Chancellor's Autumn Budget allocated £2.7million additional funding for Adults and Children's social care, while the Education Secretary announced a further £677,000 to support children with special educational needs and disability. Finally it was announced that the Kent and Medway bid for a second year of the Business Rates retention pilots was unsuccessful; while disappointing, this was what had been assumed in the MTFS meaning this did not represent a worsening of the Council's position.</p> <p>The quarter 3 revenue monitoring has also identified a number of pressures in relation to demographic growth in social care. The majority of these pressures have been addressed for 2019/20 through the process to develop the budget however officers and Members continue to work</p>		<p><u>Score</u></p> <p>BII</p>	<p><u>Target Residual Risk</u></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>	<p><u>Score</u></p> <p>CIII</p>

to identify savings and efficiencies to reduce the risk of overspend in 2018/19.				
Mitigation				
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	Co-ordinate responses with members, brief MPs, agree media campaign, solicit support from peer authorities/partnerships Unmodified VFM opinion in respect of the adequacy of financial planning and effective budgetary control Increased devolution of tax raising powers to the Council	On-going	December 2018 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 MTFS process	Corporate Management Team	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 Co-ordinate responses with members, agree media campaign, solicit support from peer authorities Balanced budget with resources aligned to priorities, delivery of VFM and savings to ensure financial sustainability in the medium-term Unqualified VFM Judgement - adequacy of financial planning, effective budget control, balanced budget and adequacy of reserves	Medium Term Financial Strategy in September Capital and Revenue budget agreed by Council in February	December 2018 The Council's Medium Term Financial Strategy was presented to Cabinet in September 2018 identifying a £3m 'gap' in 2019/20. This position has worsened due to demographic pressures in Children and Adults, however the additional funding announced in the Autumn Budget, together with an improving tax base will mitigate this to some extent.
SR03B.03: Create resources for investment priorities	Corporate Management Team	Track funding opportunities Maximise capital receipts on asset disposal Prudential borrowing	On-going	December 2018 The new Treasury Management Strategy was prepared for agreement by Full Council on 21 February 2019. The strategy sets out the Council's portfolio including £23m invested in managed property funds, along with the

		Revenue returns from investments and capital assets and appreciation in capital asset values		planned direct investment in property of £20m and investment of £45m for the purchase of the Pentagon Centre both incorporated in the Capital Programme. In response to the risk of volatility and increases in interest rates likely over the coming year, the strategy also sets out plans to smooth out the Council's debt maturity profile and reduce reliance on short-term borrowing. The 2019/20 budget reflects the financial impact of these decisions.
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	December 2018 Transformation has been embedded in the Council's budgets for next year, with over £2million investment in making transformation 'business as usual'. This is expected to deliver a further £3million of transformation savings in 2019/20 increasing by £1million per year over the medium term.

Opportunities and the way forward

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.

Finally, the Medium Term Financial Strategy has, as its theme, financial resilience and sustainability, with a clear focus on managing and rebuilding reserves.

Corporate Risk: SR09B keeping vulnerable young people safe and on track		Risk Owner: Director of Children And Adults	
		Portfolio: Children's Services (Lead Member) and Portfolio Educational Attainment and Improvement Portfolio	
Inherent Score: BII	Target Residual Score: BII	Last Review: December 2018	Current Residual Score: BII
<u>Threat / Inherent Risk</u> Changes in the demographics and in the legislative requirements affect Special Educational Needs and Disability (SEND) and Youth Offending Teams		<u>Score</u> BII	<u>Trigger</u> <ul style="list-style-type: none"> The Council is unable to address these issues with cost effective, innovative solutions <u>Consequence</u> <ul style="list-style-type: none"> Poorer outcomes for children and young people Budget pressures with consequences across the Council Impact on statutory responsibilities and regulatory judgement
<u>Current Residual Risk</u> The Special Educational Needs and Disability inspection highlighted the need for better data analysis and performance monitoring		<u>Score</u> BII	<u>Target Residual Risk</u> A solid analysis of available performance data enables us to promptly identify areas of concern and develop action plans to address them
MITIGATION			
Ref: Action	Lead Officer	Desired Outcome: Expected Output	Milestones
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 Dedicated Schools Grant High Needs Block.	Deputy Director, Children and Adults	<p>Improved outcomes for children and young people as per SEND 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>SEND 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/implemented.</p>	<p>Less out of area SEND placements</p> <p>More children being educated in mainstream schools with outreach</p> <p>Increased local specialist provision</p> <p>Fewer exclusions fixed term and permanent</p>
			Progress update
			<p>December 2018</p> <p>Pressure on budgets continues due to further demand increases. There are just under 200 new cases in the past Quarter. Work has been done to attempt to mitigate via the Placements Financial Recovery Group.</p> <p>July 2018</p> <p>Due to feedback from the recent SEND inspection, B&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>SR 09b.05: The recent SEND Inspection highlighted strengths and areas of improvements. The Council and Clinical Commissioning Group 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&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.</p> <p>Good management information to inform decision making of the SEND improvement board.</p> <p>Data and Performance information supports with the strategy and improvement plan.</p> <p>Improvement against the statement of action.</p>	<p>There are four NHS England and Ofsted and scrutiny meetings between July 2018 – February 2019</p> <p>Milestones would be for the outcome of the meetings be favourable</p>	<p>December 2018</p> <p>Work continues on the Written Statement of Action for the Joint Area Inspection. Including a comms plan, refreshing the SEND Strategy and opening a hearing impairment unit. This is monitored by through the SEND Improvement Board co-chaired by the CCG and the Lead Member for Children’s Services.</p> <p>July 2018</p> <p>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>SR 09b. 06: The Council and partners have been issued with the Joint Targeted Area Inspection (JTAI) findings and recommendations, following the inspection regarding Children living with Domestic Abuse.</p>	<p>Director of C&A & 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</p> <p>Launch strategy</p> <p>Use of intelligence informs commissioning</p>	<p>December 2018</p> <p>The formal response to the JTAI was submitted on time including specific action plan to address issues identified in JTAI.</p> <p>Feedback from OFSTED was positive in relation JTAI action plan.</p> <p>Progress in some areas has been slow due to getting the right partners into the MASH but daily meetings are now taking place.</p> <p>Monthly meeting booked to review progress.</p>
<p>SR 09b.07: Ensure practitioners are equipped to be compliant with any changes in the Youth Justice system and that monitoring systems are</p>	<p>Deputy Director, Children and Adults</p>	<p>Reduction in first time entrants, reoffending, use of Custody.</p> <p>Effective analysis of data to inform practitioners input. - Ensuring service delivered within budgetary constraints.</p> <p>Magistrates have confidence in</p>	<p>Grant provided by MoJ for developing alternatives to custodial remand is used effectively for innovative support and budget not exceeded by custody</p>	<p>December 2018</p> <p>HMIP pilot showing Medway improving in all areas. JTAI highlighted that Medway works well to safeguard children and young people.</p> <p>Medway new desistance model seen as good-outstanding as a delivery model endorsed by YJB and prof Neal Hazel.</p>

in place to track this.		<p>interventions.</p> <p>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>	bill.	<p>Purchased reoffending toolkit, and improved data reporting.</p> <p>Will soon appoint a data lead to further drive forward improvement and performance.</p> <p>Medway was asked to run a workshop at the YJB conference on our model.</p> <p>Audits continue to review the work at good.</p>
<p>SR 09b.08: A comprehensive strategy in place to ensure that partner agencies work cooperatively to identify and deal with children and young people (CYP) who are identified as, or at risk of becoming, victims or perpetrators of Child Sexual Exploitation (CSE) and missing.</p> <p>All professionals, voluntary groups and the wider community including hard to reach groups are aware of, and have an understanding of CSE and missing.</p> <p>Implement findings of review of CSE unit.</p>	Director Children & Adults	<p>Ensure that we have a comprehensive strategy in place for CSE and missing.</p> <p>All professionals working directly with CYP have an understanding and knowledge of CSE and missing; and develop appropriate skills.</p> <p>Increase the awareness and understanding of CSE and missing by all professionals, voluntary groups, wider community including hard to reach groups.</p> <p>Improvement of identification, prevention, support disruption and prosecutions.</p> <p>Development of a reliable multi-agency data set.</p> <p>Comprehensive joint Kent and Medway Local Safeguarding Children Board strategy for CSE has been signed by the Medway Safeguarding Children Board (MSCB) and missing protocols in place via Children's Social Care.</p>	<p>The Kent and Medway CSE strategy has been reviewed and recommendations operationalised.</p> <p>Any review will be signed by the MSCB in the forward plan</p> <p>All relevant staff complete available CSE training.</p> <p>Case management systems capable of recording CSE cases.</p> <p>Analysis and identification of victims through data analyst within CSE Unit; social work pathways for identified victims; themes and early identification to safeguard young people in Medway.</p>	<p>December 2018</p> <p>The Kent and Medway CSE Strategy has been approved.</p> <p>New integrated Medway Domestic Abuse services contract has been put out to tender and has been awarded to a provider.</p> <p>Gangs, Missing Persons and CSE Lead appointed and started in November.</p> <p>Partners Event held in November focusing on Gangs, Missing Persons and CSE.</p> <p>New Vulnerabilities lead has started and is based in the front door; this is working well.</p> <p>Beginning to pull a meaningful data set together to inform practice and areas for improvement.</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>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.</p> <p>Other professionals and community groups have an understanding and an awareness of the Governments Prevent agenda</p>	<p>Children's Services (DD)</p>	<p>An area wide group – Community Safety Partnership, Medway YOT Board and MSCB - co-ordinates and monitors Prevent work.</p> <p>Vulnerable young people are safeguarded and risks to the community are minimized</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>	<p>December 2018:</p> <p>Referral pathways exist to manage this programme of work.</p> <p>Multi Agency Safeguarding Hub (MASH) will recruit an analyst to further support this work.</p> <p>Gangs, CSE and MISPER lead starts at the end of Nov Prevent agenda to sit in Children's Services.</p> <p>New Vulnerabilities lead has started and is based in the front door; this is working well.</p> <p>Beginning to pull a meaningful data set together to inform practice and areas for improvement.</p> <p>Children's Services now lead on channel.</p>
<p>Opportunities and the way forward</p>				
<p>Improved multi agency working.</p> <p>Further development of performance and data reporting and new posts.</p> <p>Strategies and pathways to be finalised and understood.</p>				

Corporate Risk: SR17 Delivering regeneration			Risk Owner: Director of RCET		
			Portfolio: Inward investment, strategic regeneration and partnerships		
Inherent Score: BII		Target Residual Score: DII		Last Review: December 2018	Current Residual Score: CII
<p><u>Threat / Inherent Risk</u></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><u>Score</u></p> <p>BII</p>	<p><u>Trigger</u></p> <ul style="list-style-type: none"> • The Council fails to deliver its economic, social and infrastructure regeneration programme. • House/property building companies start to delay developments. • Potential lack of companies wanting to locate in Medway. <p><u>Consequence</u></p> <ul style="list-style-type: none"> • Regeneration projects not completed. • Potential damage to Council's reputation. • Not able to meet member, government and the public's expectations. • Deteriorating physical and infrastructure assets. • Investment wasted. • Young people are not catered for in the 'new world'. • Low skills base among some residents remains. • Disconnect between skills and employment opportunities. • Maintenance of low aspiration culture. • Increased commuting and pressure on transportation. • Negative impact on community cohesion. 	
<p><u>Current Residual Risk</u></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><u>Score</u></p> <p>CII</p>	<p><u>Target Residual Risk</u></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><u>Score</u></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	Secure funding 20 year development	December 2018 Work continues to develop the Housing Infrastructure Fund (HIF) £170million business case, to be submitted on 1st March to central	

		and infrastructure plan jointly with KCC. Production of Infrastructure Delivery Plan (IDP) to support Local Plan.	programme Preparation of IDP to support submission of Local Plan – December 2019	government. If successful, the opportunity will see the development of rail, highways, schools and other infrastructure to unlock the development of up to 12,100 homes and 30,000 construction induced jobs. 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, and Strood Town Centre. Key regeneration sites are progressing to plan, with construction well underway at Rochester Riverside, and flood defence works nearing completion 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.	Regeneration projects agreed with Members	December 2018 Homes England are a co-development partner for the £170m Housing Infrastructure Fund (HIF) bid which will be submitted on 1 March 2019. Senior regeneration officers together with the Portfolio Holder met with Moat, Orbit, and Homes England in September, and reaffirmed interest in the joint development of the Kingswear and Riverside sites in Strood, and joint working to address the £11m funding gap. Following this meeting, officers sent Homes England a high level summary of the costs of enabling works, including flood works design, viability work and legal support for a four-way JV (estimated c. £500k). A further meeting was held with Homes England in October and from this officers shared the latest viability work, title ownership details and funding agreement Medway already has with Homes England for the Riverside site. It is planned to market the Civic site independently early next year with the Riverside site to be marketed once a developer for Civic is appointed, so there is approx. 18 months to continue to work on this. There is a dedicated External Investment Officer in the Regeneration Delivery Team, and a virtual External Investment Working Group with cross-service membership, which identifies funding opportunities and prioritises bids based on Member and strategic priorities. This is reflected in a pipeline list of projects.
SR 17.03: Regular meetings with stakeholders	Director of RCET	External financial arrangements to fund transformational programmes and deliver plans that are	As detailed in individual delivery plans.	December 2018 Homes England are a co- development partner for the £170m Housing Infrastructure Fund (HIF) bid which will be submitted on 1

including developers to lever in external funding and bring forward transformational programmes.		implemented on time and to budget. Investors come forward for regeneration sites.		<p>March 2019.</p> <p>In addition, Homes England has expressed an interest in supporting the Moat- and Orbit-led Kingswear Gardens project to unlock additional homes in Strood. Meetings are ongoing with 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 a virtual External Investment Working Group with cross-service membership, which identifies funding opportunities and prioritises bids based on Member and strategic priorities. This is reflected in a pipeline list of projects</p>
SR 17.04: Working with the Local Enterprise Partnership to attract funds to Medway.	Director of RCET	<p>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.</p> <p><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.</p>	As detailed in individual delivery plans.	<p>December 2018</p> <p>Medway has made successful bid submissions to the SELEP for eight LGF projects, totaling over £40m of funding across three bidding rounds.</p> <p>A £650K GPF application for the Innovation Park Medway was approved by SELEP's Accountability Board in September.</p> <p>Following announcement of an additional call for LGF submissions over the summer, officers developed two Strategic Outline Business Cases for Medway projects, for the Innovation Park Medway, and Britton Farm Mall in Gillingham. Britton Farm Mall was approved by the Independent Technical Evaluator, and currently sits in 12th place on the LGF priority pipeline.</p>
SR17.05: Working towards the adoption of the new Medway Local Plan.	Director of RCET	<p>New Local Plan and Planning Policy Guidance adopted to guide Medway's sustainable growth.</p> <p>To prepare the Medway Local Plan and as outlined in the Local Development Scheme published 2018</p>	<p>Consultation completed: June 2018</p> <p>Draft Local Plan: Nov/Dec 2018</p> <p>Submit draft plan in Summer 2019 for anticipated adoption 2020</p>	<p>December 2018</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 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.</p>

SR17.06: To seek additional external funding opportunities.	Assistant Director Planning, Culture and Regeneration Services	Ensuring Medway's Regeneration programme is delivered. Additional funding streams identified and secured.	Secure funding for Council owned sites.	<p>December 2018</p> <p>Work continues to develop the Housing Infrastructure Fund (HIF) £170million business case, to be submitted on 1st March to central government. If successful, the opportunity will see the development of rail, highways, schools and other infrastructure to unlock the development of up to 12,100 homes and 30,000 construction induced jobs. The HIF scheme contributes to the emerging Infrastructure Delivery Plan, which explores all aspects of infrastructure needs across Medway up to 2035.</p> <p>We submitted a fresh £500,000 proposal to One Public Estate following two rounds of success. We are seeking feasibility funding to unlock development options for Temple Waterfront, Canada House, a Rainham Community Hub, Hoo Healthy Living Centre, and the 'Docking Station' creative workspace concept at Chatham Interface. If progressed through to development, these sites can unlock 510 new homes, 1275 jobs and £10million capital receipts for Medway Council and partners.</p> <p>OPE round 6 feasibility funding enabled us to bid to LGF3b for £1.89m to support the regeneration of Britton Farm Mall in Gillingham. The Strategic Outline Business Case for the project has been approved, and it currently sits in 12th place on the LGF priority pipeline.</p>
SR17.07: Submission of a successful Business Case for Housing Infrastructure Fund (HIF) funding for the peninsula.	Assistant Director Planning, Culture and Regeneration Services	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 2018 or March 2019 Decision 4 months post submission.	<p>December 2018</p> <p>Work continues to develop the Housing Infrastructure Fund (HIF) £170million business case, to be submitted on 1st March to central government. If successful, the opportunity will see the development of rail, highways, schools and other infrastructure to unlock the development of up to 12,100 homes and 30,000 construction induced jobs. The HIF scheme contributes to the emerging Infrastructure Delivery Plan, which explores all aspects of infrastructure needs across Medway up to 2035.</p>
Opportunities and the way forward				
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.				

Corporate Risk: SR21 Procurement savings – capacity and delivery			Risk Owner: Chief Legal Officer	
			Portfolio: Resources	
Inherent Score: All		Target Residual Score: DIII	Last Review: December 2018	Current Residual Score: CII
<u>Threat / Inherent Risk</u> 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.		<u>Score</u> All	<u>Trigger</u> <ul style="list-style-type: none"> Budget pressures Audit reviews reveal weaknesses. Market inflationary pressure on prices <u>Consequence</u> <ul style="list-style-type: none"> Council does not achieve value for money. Damage to reputation. Increased costs of purchasing services. Not achieving cost efficiencies. Overspend on budget allocation. Failing to achieve Members' expectations. 	
<u>Current Residual Risk</u> The liaison between Category Management teams and services is working well, with services maintaining strong monitoring of their general savings delivery including those that are linked to procurement activity. Procurement Board maintains a member oversight of procurement and category management 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.		<u>Score</u> CII	<u>Target Residual Risk</u> 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
MITIGATION				
Ref: Action	Lead Officer	Desired Outcome / Expected Output	Milestones	Progress update
SR 21.01: Cabinet and Corporate Management Team joint review of agreed budget savings and timetable	Chief Finance Office Chief Legal Officer	To deliver budget savings to an agreed timetable Budget quarterly monitoring	Budget out-turn	July 2018 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

				with 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	July 2018 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	July 2018 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	July 2018 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 savings.	Chief Legal Officer Partnership Commissioning (AD)	Good regular engagement with suppliers. Regular discussions about performance and savings. Contract management data	On-going	July 2018 Supplier engagement events are held throughout the year where appropriate linked to specific procurement exercises
Opportunities and the way forward				
There may be opportunities to share procurement resources with other Councils.				

Corporate risk: SR25 Adult Social Care Transformation		Risk Owner: Director Of Children And Adults	
		Portfolio: Adult Services	
Inherent Score: CII	Target Residual Score: DII	Last Review: December 2018	Current Residual Score: CII
<p><u>Threat / Inherent Risk</u></p> <p>The local population of older people and disabled adults is increasing significantly – (source: Joint Strategic Needs Analysis, POPPI and PANSI intelligence).</p> <p>The ambition of the Integrated Better Care Fund (IBCF) for 18/19 is to ensure that the proportion of delayed transfers of care attributable to Medway Council should be no more than 4%</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 in terms of both the numbers of hospital discharges and the ability of domiciliary care providers to recruit and retain carers.</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 and changes to financial regulations in 2010 and the implementation of the Universal Credit/ ESA and Housing Benefit may impact on the level of client income that can be charged. 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><u>Score</u></p> <p>CII</p>	<p><u>Trigger</u></p> <p>Demographic impact.</p> <p>There are national ambitions for further integration by 2020. The implementation of the STP across Kent and Medway, and the development of an Integrated Care Partnership.</p> <p>Whilst the overall national ambition for integration remains the same, the priorities and timescales for delivery within that overall ambition may shift at a national level. There is uncertainty around national policy and budgets for Health and Social Care, with a delay in the publication of the Adult Social Care Green Paper.</p> <p>Capacity planning for local care must incorporate social care and preventative services</p> <p>Development of retail expansion across the Borough means that staff from domiciliary care are attracted to this industry as the rates of pay and employment conditions can be competitive.</p> <p><u>Consequence</u></p> <p>Potentially significant increase in spend on Adult Social Care.</p> <p>Potential impact on ASC resources.</p> <p>Potential risk around supporting wider health economy.</p> <p>Inability to meet demand placed on social care through changes to primary care and secondary care</p> <p>As the number of discharges from hospital increases this places pressure on the community equipment service, which is a pooled budget.</p> <p>Reduction of capacity in domiciliary care market</p> <p>Fee Increases (commissioned Care and Direct payment rates)</p> <p>Reduction of capacity in residential and nursing homes</p> <p>Transition clients from Children/ SEN Residential placements</p> <p>Level of savings achieved through improvement programme lower than budgeted</p> <p>Increase in the number of LD Care homes/ Supported Living providers giving notice to terminate placements or triggering legal action in light of not</p>

		receiving annual inflationary increase to offset NMLW/Sleep-in increases in payment Number of providers at risk of liquidation which results in financial pressures for the local authority when seeking alternative placements		
Current Residual Risk 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.	Score CII	Target Residual Risk 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.	Score DII	
Mitigation				
Ref: Action	Lead Officer	Desired Outcome / Expected Output	Milestones	Progress update
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 manage the budget. Short term management actions are being taken to reduce any overspend.	Assistant Director Adult Social Care Assistant Director Commissioning, Business & Intelligence	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 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.	Personal Budgets performance as per KPI. Category Management project on high cost placements End of year spend within budget. Programme developed and underway. Dynamic Purchasing	December 2018 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. Further scrutiny is in place for any new or increased to packages of care via managers and Heads of Service. A long term care and accommodation strategy has been 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

		<p>ASC Strategy and associated key projects.</p> <p>Monthly scrutiny of budgets at AMT and audits of practice and Personal Budgets/Direct Payments. Management action as required.</p>	<p>System.</p> <p>Increase the number and effectiveness of reviews.</p> <p>Reduction in delayed transfers of care</p>	<p>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 29% in October 2018..</p> <p>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</p> <p>A business case for the joint recommissioning of homecare and residential / nursing care has been completed and signed off.</p> <p>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 & Adults</p>	<p>People in receipt of Health and Social Care Support are not deprived of their liberty illegally.</p> <p>DoLS applications to Medway as a Supervisory Body are processed and assessments carried out within timeframes.</p> <p>DoLS process is digitalised to create efficiencies</p> <p>Increase in training for BIA's.</p> <p>Expend the number of senior officers to act as authorisers</p>	<p>Reduction in the number of DoLS cases awaiting authorisations</p>	<p>February 2019</p> <p>The Council continues to triage all DOLS referrals and to carefully prioritise using the ADASS screening tool.</p> <p>Any person who is actively objecting to a proposed deprivation of liberty (e.g. attempting to leave a care home when they lack the necessary mental capacity to make this decision and may be at risk) is assessed swiftly.</p> <p>The number of cases waiting assessment has been reduced to 303, from a peak of some 450. Likewise, the number of cases awaiting authorization has been reduced to 49 (compared to 131 in October 2017).</p> <p>Prior to the Cheshire West Judgement there were approximately 13,000 (2014-15) DOLS applications per year in the UK. This increased to 230,000 in 17/18 (Source NHS Digital). As a consequence, Local Authorities across the UK are struggling with DOLS assessment backlogs, which the forthcoming Liberty Protection Safeguards legislation seeks to address.</p>

<p>SR 25.04: To work with Health colleagues to develop a vision for integration at a Medway level. To identify what the Integrated Care Partnership will look like.</p> <p>Agree how the IBCF funding will be used to meet the strategic objectives as set out by the DOH and DCLG</p>	<p>AD Adult Social Care</p>	<p>To describe Medway's potential for integration by nationally set timeframes</p> <p>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.</p>	<p>To be able to define what the local Care offer will be from April 2017.</p> <p>Involvement in public Consultation Summer 2017</p>	<p>December 2018</p> <p>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. This structure has been refined further following a review and consultation. This will increase the number of front line staff</p> <p>Plans for closer working with health services are being taken forward through the STP local care arrangements with weekly Integrated Local Review meetings currently being rolled out across Medway.</p> <p>DToCs continue to be 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.</p>
<p>SR 25.05: That the intermediate care, MICES, rapid response and discharge arrangements to put additional pressure on the ASC budgets</p>	<p>Director of Public Health & Assistant Director Adult Social Care</p>	<p>Additional pressure not put on ASC budgets</p> <p>Delivery of effective Integrated Commissioning activity.</p>	<p>Ensure appropriate contributions from health.</p> <p>Complete targeted reviews of ASC cases</p> <p><i>Underway.</i></p> <p>Approval granted for MICES to be re-procured.</p> <p>Utilising BCF/IBCF monies effectively to minimise</p>	<p>December 2018</p> <p>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 is proving effective in keeping the MICES service within budget.</p> <p>The Transforming Care Programme is an emerging risk as significant facets of this remain unresolved at national, regional and local levels.</p> <p>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</p>

			impact on social budgets. <i>Ongoing</i>	providing a more dynamic effective way of managing cost and demand pressures. JCMG have given agreement for MICES to be re-procured. JCMG have given agreement for MICES to be re-procured.
<p>Opportunities and the way forward</p> <p>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.</p> <p>Commissioning of further capacity in the domiciliary market will enable to us to further impact our delayed transfers of care.</p>				

Corporate risk: SR26 Children's Services			Risk Owner: Director of Children And Adults		
			Portfolio: Children's Services		
Inherent Score: All		Target Residual Score: BII		Last Review: December 2018	Current Residual Score: BII
<u>Threat / Inherent Risk</u> 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. Expectations by Regulator in relation to standard of care and provision provided across a range of services. Challenges in recruiting to key posts would impact on the Council's ability to deliver good quality and consistent practice. 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.		<u>Score</u> All	<u>Trigger</u> <ul style="list-style-type: none"> 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. Managing high caseloads impact on quality of work being undertaken with children in need, including the need for protection and looked after children. Partner agencies failing to identify families that need targeted support through the early help outcomes framework. <u>Consequence</u> <ul style="list-style-type: none"> Budget pressures with consequences across the Council. Limits ability to divert resources to early help which ultimately must be part of the solution to increasing numbers of looked after children and preventing children and young people from becoming subject to child protection plans. Poorer outcomes for children young people. Impact on statutory responsibilities and regulatory judgement. Excessively high caseloads. 		
<u>Current Residual Risk</u> There is a range of improvement work still being undertaken within Children's Services which is why we retain the current scoring.		<u>Score</u> BII	<u>Target Residual Risk</u> 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
Mitigation					
Ref: Action	Lead Officer	Desired Outcome / Expected Output	Milestones	Progress update	
SR 26.01: Recruitment & retention & workforce development	Deputy Director for Children & Adults Human Resources Service Team	Well trained & supported workforce. Permanent staff numbers.	As per strategy and plan.	December 2018 Remains a key theme throughout all Children's Services Improvement meetings such as the Core Group and Promoting Practice. We have launched a Teaching Partnership alongside other partners to encourage professional development as well as attracting new talent from	

<p>strategy for children's social workers implemented.</p>				<p>universities. A Social Work Summit was also held with 276 attendees.</p> <p>July 2018</p> <p>Recruitment and retention of permanent staff has remained an issue, with current agency social worker at around 40%</p> <p>Report taken to Delivery Board in December and new T&C agreed for social workers to support recruitment and retention of permanent workforce.</p> <p>2017 – a range of training delivered to support strengths based systemic.</p> <p>2018 – Promoting Practice plans for recruitment and retention. 2018 – First line programme of leadership training to social work Team Managers.</p> <p>Partnership with the Centre for Systemic social work to deliver training to social workers and managers</p> <p>Vacancy rate risk has increased through static level of vacancy since January 2018 leading to a cumulative impact on practice of turnover in permanent staff combined with the low quality of locum staff.</p> <p>Recruitment of locum staff has developed as a risk area given low supply of quality locum staff.</p>
<p>SR 26.02: Together We Can –Strategy has been implemented in response to Ofsted recommendations to strengthen quality of practice.</p>	<p>Deputy Director for Children & Adults</p>	<p>Improved outcomes for vulnerable children.</p> <p>Improved educational outcomes for LAC.</p> <p>Reduction in timescale between placement order and moving in with adoptive family.</p> <p>Effectiveness of early help.</p>	<p>Educational outcomes LAC.</p> <p>Reduce delays in care proceedings.</p> <p>Percentages of families who have had a CAF/Early help Assessment, who have achieved desired outcomes at end of their intervention.</p>	<p>December 2018</p> <p>Currently being implemented by the Children's Services Delivery Plan as part of a wider piece of work.</p> <p>Focused information advice and guidance given to LAC young people who are Not In Education, Employment or Training (NEET), with an additional drop in service created at the Pentagon shopping centre. New dashboard in development for Early Help to evidence impact and effectiveness.</p> <p>GLENESK have been supporting us in this area of work. Initial signs are very positive. Early Help also finalising a Strategy for 2019 until 2022.</p> <p>July 2018</p> <p>Need data to set out current position in relation to education and permanence for LAC.</p> <p>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.</p> <p>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.</p>

				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 Assurance Framework	Director for Children and Adults	Good quality and consistent practice. Learning and thematic Audits and other quality assurance tasks are completed as per the QA framework.	The learning points from completed auditing activity are aggregated so as to inform learning.	<p>December 2018</p> <p>The QA Audit Framework was agreed in December 2018 and presented to Promoting Practice Group and Children's Services Management Team. An audit schedule has been drawn up until July 2019.</p> <p>July 2018</p> <p>Monthly and thematic audits of casework have been undertaken, the finding of these have been themed and will support our self-evaluation and 'Promoting Practice' action planning.</p> <p>Milestone: Multi agency attendance at CP conferences.</p> <p>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.</p>
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.	<p>December 2018:</p> <p>Action plan is now in place with a target end date of April 2019. Meeting scheduled for 11th Dec with key partners and Kent county council to discuss options.</p> <p>July 2018</p> <p>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.</p> <p>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.</p>
SR 26.06: Implementation of projects to better manage	Deputy Director for Children & Adults	Safely reduce C&YP entering and staying in the care system with resources in placement	Reduced demand for CSC services.	<p>December 2018</p> <ul style="list-style-type: none"> • Gangs CSE and MISPER lead to start end of Nov. • EH SW working in the hubs with YP with more complex need at level 3 • Youth service delivering targeted youth support

demand around edge of care and early help, including strengthening support to parents at home does reach desired outcome.		(to reduce breakdown). Edge of care response to increase through targeted youth support and family intervention.		<ul style="list-style-type: none"> • Family workers placed in Fostering team • Parenting training undertaken • Appointed Vulnerabilities lead and they are located in the front door. • Early Help Social Workers also based in the front door to offer rapid response to families needing urgent response/ support. • Early Help DA role in the front door to support those that come through Triage (DAN referrals) • Early Help Coordinators now in the front door to support with level 2 services support families much earlier.
SR 26.07 Troubled Families programme funded by DCLG	Deputy Director for Children & Adults	Turnaround 2060 families by the year 2020 meeting the governments outcome framework To achieved 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	<p>December 2018</p> <ul style="list-style-type: none"> • Strategic led in place. • All targets hit for July, Aug, Sept and Oct • Recovery plan agreed and signed off by MHCLG • Revised outcomes plan completed • Initial 50% upfront fee received. Outstanding 50% paid on continued improvement between now and March. • PBR is improving and trajectory is very positive. • Links to TSAT and Leigh Academy Trusts hope to create further results. • Working with MCH regarding progress and outcomes data, again to improve PBR results. • All targets met from November and December. • MHCG agreed action/ recovery plan. • MHCLG agreed refreshed outcomes plan. • Upfront fee payment received for Dec 2018. • On target for additional payment in March.
Opportunities and the way forward				
Improved data and reporting will enable better management control. Implementation of projects managing demand, Strengthened role for MSCB.				

Corporate Risk: SR27 Government changes to Local Authority's responsibility for schools			Risk Owner: Director of Children and Adults		
			Portfolio: Children's Services (Lead Member) Portfolio and Educational Attainment and Improvement Portfolio		
Inherent Score: BII		Target Residual Score: CIII		Last Review: December 2018	Current Residual Score: CIII
<u>Threat / Inherent Risk</u> 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.			<u>Score</u> CII	<u>Trigger</u> <ul style="list-style-type: none"> 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. <u>Consequence</u> <ul style="list-style-type: none"> Impact on children and families of being in a school that fails to provide quality provision. Performance ratings as measured through Ofsted reports and Performance tables impact on parental and community confidence. Financial consequences. The DfE will expect that the school becomes a sponsored academy with further financial consequences to Medway including an expectation that the LA pays the legal costs for the transfer and writes off deficits. Reputational damage. Impact on statutory responsibilities and regulatory judgement. Progress and progression for children & young people are impacted negatively and young people fail to achieve their potential. 	
<u>Current Residual Risk</u> 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 work and support is required. A funded programme to support targeted primary schools in respect of inclusion. Close liaison between internal Council departments.			<u>Score</u> CII	<u>Target Residual Risk</u> Previous restructuring and budget reductions limit the level of resource to be allocated to target schools in danger if entering a category. Young People in an underperforming school are at risk of not achieving their potential. Ongoing academisation with 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.	<u>Score</u> CIII
MITIGATION					
Ref: Action	Lead Officer	Desired Outcome: Expected Output	Milestones	Progress update	
SR 27.01: Analysis of school data is used to agree a	Deputy Director Children & Adults	Schools results in line with or exceed nationally expected	Number of schools below	September 2018 Invalidated data shows that school performance at the	

<p>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</p>		<p>progress measures. School Challenge and Improvement Team support schools to identify actions needed to improve pupil progress. Data shows progress to be in line with similar schools nationally and then to be in upper quartile. Implementation of School Improvement Strategy.</p>	<p>floor threshold reduces Number of schools in an OFSTED category reduces and remains low. Number of coasting schools is low</p>	<p>end of KS2 has continues to improve. The gap to national has closed from 4% to 2%. The 2018 rate of improvement has quickened. Primary schools remain on a trajectory to deliver Medway into the 3rd quintile of local authority areas, exceeding national performance in attainment at KS2 by July 2019. Further updates are expected when the 2018 is validated and the coasting definition is applied. 84% of all pupils are attending a good school in Medway (compared to all England at 86.7%). The same comparison for primary schools is 82.2% when all England is 89% and for secondary, 85.6% against an all-England of 83.2% are attending a good school.</p>
<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.</p>	<p>Children's Services (DD)</p>	<p>Schools move up from requires improvement to Good and from Good to Outstanding. Core SCI training developed and delivered in a targeted way. OFSTED preparation in place for Senior Leadership Team (SLT) and Governors. NLES and LLEs linked to schools to give additional experience to draw on for delivering good and better practice. Work closely with the teaching school alliances to develop leadership and improve the quality of teaching across subject areas.</p>	<p>OFSTED judgements place more schools in the Good or Outstanding categories.</p>	
<p>Opportunities and the way forward</p>				
<p>New school Improvement Strategy</p>				

Corporate Risk: SR32 Data and Information		Risk Owner: Chief Legal Officer		
		Portfolio: Adrian Gulvin		
Inherent Score: BII	Target Residual Score: DIII	Last Review: December 2018	Current Residual Score: CII	
<p><u>Threat / Inherent Risk</u></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>		<p><u>Score</u></p> <p>BII</p>	<p><u>Trigger</u></p> <ul style="list-style-type: none"> • Budget pressures • ICO Audit reveals areas for improvement • Digital Strategy • Big Data project with academics • Annual information governance toolkit submission <p><u>Consequence</u></p> <ul style="list-style-type: none"> • Data loss leads to damage to reputation. • Not achieving cost efficiencies through Digital Strategy changes • Failing to achieve Members' expectations. • Failing to find new innovations • Failing to deliver good quality care for residents of Medway 	
<p><u>Current Residual Risk</u></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 Data 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 materialising.</p> <p>Training to all officers and to Members is being rolled out successfully.</p>		<p><u>Score</u></p> <p>CII</p>	<p><u>Target Residual Risk</u></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>	<p><u>Score</u></p> <p>DIII</p>

Mitigation				
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.	July 2018 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	July 2018 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	July 2018 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.	July 2018 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 Council's response to IG	Chief Legal Officer	Improved control around IG and other related issues. FOI and SAR statistics Periodic ICO audits Annual IG Toolkit submission GDPR readiness	On-going	July 2018 Recruitment is proceeding.
Opportunities and the way forward				
As the current round of training to officers and Members embeds the risks associated with information governance should reduce.				

Corporate Risk: SR33 Impact of Welfare Reform		Risk Owner: Chief Finance Officer		
		Portfolio: Leader's		
Inherent Score: CII	Target Residual Score: DIII	Last Review: December 2018	Current Residual Score: DII	
<p><u>Threat / Inherent Risk</u></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 of 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><u>Score</u> CII</p>	<p><u>Triggers</u></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"> • Changes to tax allowances and thresholds; • Reform of benefits (eg. Universal Credit, the cap); • Changes in eligibility for social housing; • Introduction of the living wage; • An influx of both identified and unidentified customers. <p><u>Consequence</u></p> <ul style="list-style-type: none"> • Impact on some of the most vulnerable citizens; • Consequent impact on demand for core council services; • Transfer of additional responsibilities to local authorities • Direct and indirect impacts on council staffing resources. • Direct Impact on Rent Income Stream to HRA • Increase in homelessness/Evictions Negative local publicity and reputational damage. • Unidentified customers impacted by the welfare reform presenting to the Council too late to prevent homelessness 	
<p><u>Current Residual Risk</u></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><u>Score</u> DII</p>	<p><u>Target Residual Risk</u></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><u>Score</u> 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	<p>Customers are able to sustain tenancies and mortgages.</p> <p>Families remain resilient and less likely to need Council services.</p> <p>Administration of the following:</p> <ul style="list-style-type: none"> • Council tax reduction scheme; • Discretionary relief scheme; • Enhanced housing benefit; • Welfare provision. 	<p>Reduced number of customers presenting for reasons of homelessness.</p> <p>Reduced KPI: rent arrears as % of rent debit.</p>	<p>December 2018</p> <p>NI 156: households in temporary accommodation is within target with an improving long and short term trend.</p> <p>HC3: households in B&B with dependent children is within target.</p> <p>Tenant arrears is on target with an improving long and short term trend.</p>
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	<p>Working across directorates and with partners to provide a joined up approach to meeting the challenges the welfare reform poses for our customers.</p> <p>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.</p>	<p>Monitor the action plan and provide six monthly update reports to BSD O&S Committee.</p>	<p>December 2018</p> <p>The Officer Welfare Reform Group meets quarterly and last reported to the Business Support Overview and Scrutiny Committee in October 2018.</p> <p>The original action plan was largely delivered and the work streams have evolved:</p> <ul style="list-style-type: none"> • Information, advice and guidance; • Roll out of Universal Credit; • Local welfare provision; • The work / skills programme.
SR 33.03: The provision of and referral to money advice services.	Chief Finance Officer	<p>Customers have access to free and independent advice, to assist them in personal budgeting and managing debt.</p> <p>Specification for service provision.</p> <p>Consider options and commission services.</p> <p>Publicity and sign-posting to service</p>	<p>Number of referrals made to new service</p>	<p>December 2018</p> <p>A variety of approaches used, including in-house and voluntary sector providers, however the partnership agreement with the DWP for Universal Credit customers has been superseded by a national contract between the DWP and CAB.</p>
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>Number of joint events held with partners to promote Universal Credit</p>	<p>December 2018</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>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>Numbers using the assisted digital offer</p> <p>Numbers referred to debt advice services.</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>
<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 Housing Bill.</p>	<p>Head of the HRA</p>	<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 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&S.</p>	<p>Monitoring of Business Plan annually</p> <p>Quarterly budget monitoring.</p> <p>O&S report on revised HRA business plan – October 2016</p>	<p>December 2018</p> <p>The HRA Business Plan is currently been reviewed in light of the Government's decision to remove the borrowing cap on the HRA.</p> <p>In spite of the roll out of UC, tenant arrears remains under control.</p> <p>The Government had 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>
<p>SR 33.06: Delivery of the Employment Programme</p>	<p>Manager of 'Employ Medway'</p>	<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>December 2018</p> <p>Between August 2009 and January 2018 Employ Medway has supported 2,150 long term unemployed or disadvantaged locals into work. The Work Programme alone has resulted in 15,946 months reduction in benefit payments (housing, council tax and DWP benefits) with an estimated value of £9.5 million.</p>

				<p>From January 2018, the Work Programme was superseded by the Work and Health programme. The DWP awarded the contract to one prime contract holder in each area. Shaw Trust is responsible for the home counties and whilst they deliver part of the programme directly themselves, Employ Medway's performance resulted in it being selected as the only supply chain partner in Kent. This sub-contract is 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	<p>December 2018</p> <p>Medway's discretionary welfare provision is now being delivered by IMAGO Community until 31 December 2018, after which it will be delivered by the newly commissioned VCS "Better together" service, under the Welfare, debt and advice lot. The yearly allocation was approximately £27,500, an average of £2,280 per month. Since July 2017, 163 residents have been provided with assistance, of which 74 of those have been since March 2018, this could be as a result of the Universal Credit roll out.</p>
Opportunities and the way forward				
Use of Mosaic and Power BI to better understand the impact of the welfare reforms on the people of Medway.				

Corporate Risk: SR34 successful delivery of the corporate transformation programme		Risk Owner: Assistant Director Transformation	
		Portfolio: Corporate Resources	
Inherent Score: BII	Target Residual Score: DII	Last Review: December 2018	Current Residual Score: CII
<p><u>Threat / Inherent Risk</u></p> <p>The Council has established a corporate transformation programme designed to:</p> <ul style="list-style-type: none"> • Improve outcomes for residents • Support culture change so the council operates effectively in the digital age • Deliver savings and support management of demand • Establish a sound technical platform to support digital innovation <p>The programme will require collaboration between all services and the transformation team which has been established to drive change, innovation and delivery of cashable savings.</p> <p>There is a risk that the organisation as a whole does not have the capacity to actively participate in the programme which will put the intended outcomes, including savings which are built into the Council's medium term financial plan, in jeopardy.</p> <p>If too much focus is given to savings delivery at expense of transformational and culture change this may put delivery of sustainable change at risk.</p>		<p><u>Score</u></p> <p>BII</p>	<p><u>Triggers</u></p> <p>Whilst the savings attributed to the programme are relatively modest in relation to the council's overall operating costs, the programme profile assumes delivery at pace.</p> <p>Key triggers are:</p> <ul style="list-style-type: none"> • Decisions are not made to prioritise digital channels / move to digital only to enable savings to be realised • User centred design methods are not consistently applied • Services are not able to dedicate staff to the transformation project due to competing priorities • Transformation work is not seen as an integral part of service business • The council is unable to attract and retain the skillset needed to design and deliver digital innovation • Corporate support services have too many competing priorities • Inspection from external organisations such as OFSTED diverts resource and focus for continued periods of time. <p><u>Consequence</u></p> <ul style="list-style-type: none"> • Programme outcomes are not delivered • Budget savings expectations are not fully met • Customer expectations about online service delivery are not met impacting on satisfaction with the council and its reputation • Customers don't use digital channels • Staff not given the tools to do their jobs in most efficient manner • The opportunity is missed to benefit from data analytics to tailor services and manage demand through preventative work
<p><u>Current Residual Risk</u></p> <p>The transformation programme is on target to deliver the required savings and organisational change set out within the original scope of work. The leadership, governance and financial scrutiny have ensured the timeliness and delivery.</p>		<p><u>Score</u></p> <p>CII</p>	<p><u>Target Residual Risk</u></p> <p>As the financial savings are made the overall risk of the programme reduces – we are currently in the 3rd year of a 3 year programme and therefore the risk is reducing exponentially</p> <p><u>Score</u></p> <p>DII</p>

Mitigation				
Ref: Action	Lead Officer	Desired Outcome / Expected Output	Milestones	Progress update
November 18 The ROI methodology, clear strategy and roadmap; alongside effective employee communication and engagement, has provided confidence that the £5m savings for 2018/19 are on track to be achieved.				
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	December 2018 The effective leadership of the transformation programme has ensured that projects have been delivered at pace. The largest project (new delivery model for Customer Contact & BASS) has now been successfully delivered, achieving full year savings in excess of £1m
SR34.02: Leadership development delivered through the Leadership Academy	Assistant Director Transformation	Managers demonstrate required leadership behaviours Skilled and effective leaders.	Academy launched May 2017	July 2018 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)	December 2018 The Transformation Programme is currently managed by a temporary team of staff working closely with existing council departments. The Transformation Programme will formally close on 31 March 2019. Proposals have been approved by Transformation Board, and subsequently submitted to Star Chamber, to establish a permanent Business Change Team to ensure that the new capabilities delivered by the Transformation Programme are transitioned into measurable benefits that are embedded into the Council. This will ensure that transformational thinking

				becomes part of “business as usual” (BAU) to support the journey to a smart Medway.
SR34.04: Use specialist recruitment agency to help us attract staff experienced in digital transformation, combined with developing internal talent through secondment programme.	Assistant Director Transformation	Digital skills developed and retained in house Highly functioning team	Ongoing as required	<p>December 2018 Staff from the digital and transformation teams have completed their JADU training and are now delivering online forms and processes at pace.</p> <p>JADU XFP (Forms) & CXM (Case Management System): The Live JADU system was implemented on 25th July 2018 by the supplier to allow us to build customer facing forms. User Acceptance Testing for JADU forms has been carried out during the build process to increase the pace of delivering online processes. The following forms went live in September 2018:</p> <p>Apply For Gillingham Football Club Tickets: This is part of our sponsorship arrangement with Gillingham Football Club, allowing eligible organisations to apply to attend a home game. We built the form in two days, iterated it and went live on 1 August. Following a publicity campaign we have had more than 300 organisations, charities and community groups use the website to register their interest in Gillingham Football Club tickets.</p> <p>Report an illegally parked vehicle: A form and case management system to report illegally parked vehicles was implemented on 17 September 2018. In the first seven weeks since the online service went live to report an illegally parked vehicle, over 150 reports of illegally parked vehicles have been submitted by customers.</p> <p>Apply for a resident parking permit: Medway residents were also provided with an online process to apply for a resident parking permit online. In the first six weeks since the online service went live, more than 450 resident parking permit applications have been received from customers, with 161 applications received in the first 15 days.</p> <p>The following forms will be ready to go live in October 2018:</p> <ul style="list-style-type: none"> • Apply for daily visitor parking vouchers • Renew a parking permit • Make a corporate complaint • Apply for a business parking permit • Report a stolen disabled persons bus pass

				<ul style="list-style-type: none"> • Report a stolen older persons bus pass <p>The following forms will go live in November 2018:</p> <ul style="list-style-type: none"> • Report illegal vehicle sales on the highway • Report illegal vehicle repairs on the highway • Report a lost or damaged disabled persons bus pass • Report a lost or damaged older persons bus pass <p>These forms have been selected as they currently generate circa 30,000 telephone calls and face-to-face transactions.</p>
SR34.05: Clear transformation programme prioritises projects and resource allocation	Assistant Director 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	<p>December 2018</p> <p>A clear transformation roadmap of projects was produced for 18/19 to achieve the required savings target. A further roadmap of digital projects was produced to support the transformation programme.</p>
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	<p>December 2018</p> <p>JADU XFP (Forms) & CXM (Case Management System): The Live JADU system was implemented on 25th July 2018 by the supplier to allow us to build customer facing forms. User Acceptance Testing for JADU forms has been carried out during the build process to increase the pace of delivering online processes. The following forms went live in September 2018:</p> <p>Apply For Gillingham Football Club Tickets: This is part of our sponsorship arrangement with Gillingham Football Club, allowing eligible organisations to apply to attend a home game. We built the form in two days, iterated it and went live on 1 August. Following a publicity campaign we have had more than 300 organisations, charities and community groups use the website to register their interest in Gillingham Football Club tickets.</p> <p>Report an illegally parked vehicle: A form and case management system to report illegally parked vehicles was implemented on 17 September 2018. In the first seven weeks since the online service went live to report an illegally parked vehicle, over 150 reports of</p>

				<p>illegally parked vehicles have been submitted by customers.</p> <p>Apply for a resident parking permit: Medway residents were also provided with an online process to apply for a resident parking permit online. In the first six weeks since the online service went live, more than 450 resident parking permit applications have been received from customers. received 161 applications in the first 15 days.</p> <p>The following forms will be ready to go live in October 2018:</p> <ul style="list-style-type: none"> • Apply for daily visitor parking vouchers • Renew a parking permit • Make a corporate complaint • Apply for a business parking permit • Report a stolen disabled persons bus pass • Report a stolen older persons bus pass <p>The following forms will go live in November 2018:</p> <ul style="list-style-type: none"> • Report illegal vehicle sales on the highway • Report illegal vehicle repairs on the highway • Report a lost or damaged disabled persons bus pass • Report a lost or damaged older persons bus pass <p>These forms have been selected as they currently generate circa 30,000 telephone calls and face-to-face transactions.</p>
SR34.07: Clear communication plan in place	Assistant Director Transformation	High levels of customer take-up of and satisfaction with digital service delivery Communications plan	Plan agreed by Transformation Board	<p>December 2018</p> <p>Resident parking permits online service: In the first six weeks since the online service went live, more than 450 resident parking permit applications have been received from customers. Analytics show that the average completion time is much quicker than downloading a paper form, printing it, completing it by hand and sending it to us in the post. We can also see that the number of downloads of the paper application form has dramatically decreased as a result.</p> <p>100% of users who completed our feedback survey have rated the form as 'very easy' or 'easy' to use and said they were 'very satisfied' with the online experience.</p> <p>"This was very straight forward"</p> <p>"If we had known we could apply online, we would have applied"</p>

			<p>sooner.”</p> <p>Feedback from services has also been extremely positive: Ruth Wright, Parking Processing Senior: “I’m really impressed with the new online system. It’s quicker and more streamlined because information about a permit application is all in one place. The team doesn’t have to waste time looking through paperwork, which means we can process permits faster.”</p> <p>Natalie West, Parking Processing Senior: “We know from the volume of applications we’ve already received and customer feedback that completing applications online is convenient for a large number of people. We’ve already seen a slight decrease in email applications. Calls about the progress of applications have also reduced, because those who applied online are kept up-to-date with email notifications at each stage of the process.”</p> <p>Report an illegally parked vehicle online service: In the first seven weeks since the online service went live to report an illegally parked vehicle, over 150 reports of illegally parked vehicles have been submitted by customers.</p> <p>100% of users who completed our feedback survey were positive about their experience and said the information we provide is ‘very easy to understand’, with one customer commenting: “This online experience is brilliant”</p>
<p>Opportunities and the way forward</p>			
<p>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.</p>			

Corporate Risk: SR35 Homelessness		Risk Owner: Assistant Director Physical and Cultural Regeneration		
		Portfolio: Deputy Leader and Housing and Community Services		
Inherent Score: BII	Target Residual Score: CII	Last Review: December 2018	Current Residual Score: BII	
<u>Threat / Inherent Risk</u> 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. Reductions in the level of income achieved due to welfare reform increasing the risk of overspend on the council's budget. Increase in the rough sleeping population in the Medway area. Changes to legislative frameworks placing greater demand on services.		<u>Score</u> BII	<u>Triggers</u> <ul style="list-style-type: none"> • Increase in the number of households residing in temporary accommodation • Reduction in the councils ability to maximise prevention opportunities • Lack of appropriate temporary accommodation stock • Reduction in the availability of permanent affordable housing • Reductions in staffing levels to sustain levels of service <u>Consequence</u> <ul style="list-style-type: none"> • Increasing and unsustainable overspend of allocated budget • Poorer outcomes for children and vulnerable adults • Increased legal challenge and penalty from the LGO • Reputational Damage • Failing to achieve Members' expectations. 	
<u>Current Residual Risk</u> The Council continues to undertake a proactive approach to tackling homelessness. Issues beyond the Councils 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.		<u>Score</u> BII	<u>Target Residual Risk</u> 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 stand to be influenced by the external factors identified within the current residual risk.	<u>Score</u> CII
MITIGATION				
Ref: Action	Lead Officer	Desired Outcome: Expected Output	Milestones	Progress update
SR35.01: Increase the prevention activity undertaken including opportunities for joint working across directorates as well as with other organisations such as DWP	Assistant Director Physical and Cultural Regeneration/ Head of Strategic Housing	Opportunities to prevent homelessness are maximised via service delivery and through the development of joint working/referral protocols with other services/organisations Increase in the amount of successful prevention cases Dedicated resource to tackle prevention of homelessness.	Monitoring throughout 2018/19 Government HCLIC quarterly returns.	July 2018 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 Homelessness Reduction Act 2017 that came in to force on 03 April 2018. Various work streams have been developed to improve the rate of prevention, seeing the amount significantly increase this year, however

				applications have increased by approximately 18% for the year to date this has increased the use of temporary accommodation by 10%. 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.	July 2018 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.	December 2018 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. Following the success of a bid

				to central government for funding, a program of initiatives have been fully implemented enabling 41 rough sleepers to be placed in to accommodation.
SR35.04: Ensure that options for the provision of temporary accommodation are transparent and reviewed in light of grant funding changes rather than subsidy to ensure that Medway is getting value for money.	Assistant Director Physical and Cultural Regeneration/ Head of Strategic Housing	Adoption of a Dynamic Purchasing System (DPS) for the Council to secure accommodation in the Private Sector. Effective/Accurate Budget Monitoring Further increase options for lower cost TA provision. Implement a “tenancy management” type structure for management of TA – Maximising the income achieved via Housing Benefit All private sector accommodation secured via the DPS. Minimise rise in price for TA units in the private sector Increase the supply of accommodation provided in the HRA Emergency use only for TA Provision that is outside of usual pricing structure.	Monitoring throughout 2017/18 Government P1E quarterly returns. Budget Monitoring	December 2018 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 to secure a DPS for the procurement has halted, the appraisal of initial interest in the arrangement posed risk to the authority being able to secure sufficient levels of accommodation to comply with its provision of statutory responsibilities, further options are now being explored.
Opportunities and the way forward				
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.				

Corporate Risk: SR36 Alternative service delivery models		Risk Owner: Corporate Management Team		
		Portfolio: Leader's		
Inherent Score: BII	Target Residual Score: CIII	Last Review: December 2018	Current Residual Score: BIII	
<p><u>Threat / Inherent Risk</u></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> <p>Weak or ineffectual oversight / management / monitoring by the council as expertise is transferred to the new delivery model.</p> <p>Failures in governance that expose untreated risk.</p>		<p><u>Score</u></p> <p>BII</p>	<p><u>Triggers</u></p> <p>Weak options appraisals/businesses cases; opportunities overstated as commercial markets are not realised, and risks understated.</p> <p>Failure to effectively manage (staffing, relationships, agreements/contracts) the transition between the council and the service delivery model.</p> <p>Limited due diligence conducted on new service provider or key individuals in that provider.</p> <p>Weak or unclear agreements/contract and governance arrangements.</p> <p>Failure of a provider, risking failure to deliver services.</p> <p><u>Consequence</u></p> <ul style="list-style-type: none"> • Failure to meet statutory responsibilities to residents. • Unexpected costs from new delivery model. • Delivery model not sustainable; responsibility for delivery of function unexpectedly transfers back to the council. • Reputation of council damaged by activities of delivery model. • Council or delivery model expectations not met by new arrangements. • No option to renegotiate terms if circumstances change. • Reduced influence / control of the council. • Delivery model operates at a loss with deficit met from local taxation • 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. 	
<p><u>Current Residual Risk</u></p> <p>All alternative delivery models are required to produce business cases 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</p>		<p><u>Score</u></p> <p>BIII</p>	<p><u>Target Residual Risk</u></p> <p>Ultimately as these alternative deliver models embed, the Council will be looking for increased revenue income and higher levels of performance.</p>	<p><u>Score</u></p> <p>CIII</p>

mitigating action is taken or expected. 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.				
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.	March 2019 Detailed business planning has taken place in preparation for the transfer of waste services to Medway Norse. CCTV strategy being reviewed with support from MCG. Business cases for Medway Development Company's pipeline of schemes, reviewed by Chief Finance Officer and Leader, prior to release of funding.
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	December 2018 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	

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	<p>July 2018</p> <p>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.</p>
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	Assistant Director Transformation	Delivery model and council both have clear roles and responsibilities in the event of any business continuity incident and Continuity of service	Ad hoc as necessary	<p>December 2018</p> <p>Business Continuity and risk management discussions with Medway Norse and Medway Commercial Group take place at contract management meetings.</p>
SR36.08: Manage the transition between the existing delivery model for SEN Transport and a new Service Delivery Model being implemented for 2018/19.	Assistant Director 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. Adherence to re-procurement timelines and milestones	As per transition plan and procurement plan	<p>December 2018</p> <p>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.</p>

Opportunities and the way forward :

There are opportunities to consider further services that would fit the alternative deliver model.

Corporate Risk: SR37 Cyber Security		Risk Owner: Assistant Director Transformation		
		Portfolio: Corporate Services		
Inherent Score: CI	Target Residual Score: DI	Last Review: New Risk	Current Residual Score: CI	
<p><u>Threat / Inherent Risk</u></p> <p>As there are no mitigations that are completely effective against malware infection, we should develop a defence-in-depth strategy for the organisation. This consists of multiple layers of defence with several mitigations at each layer. This will improve resilience against malware without disrupting the productivity of services. These layers will also have multiple opportunities to detect malware, and then stop it before it causes real harm to the organisation. Accepting the fact that some will get through will help plan for the day when an attack is successful, and minimise the damage caused.</p> <p>When building defences against malware, it is recommended that mitigations are developed in each of the following three layers:</p> <p>Layer 1: preventing malicious code from being delivered to devices Layer 2: preventing malicious code from being executed on devices Layer 3: increasing resilience to infection, and to enable rapid response should an infection occur</p>		<p><u>Score</u> CI</p>	<p><u>Triggers</u></p> <ul style="list-style-type: none"> • Cyber security incident leading to partial or total loss of system integrity <p><u>Consequence</u></p> <ul style="list-style-type: none"> • Reduced service delivery across multiple departments over extended period • Data Leaks • Financial loss • Reputational damage 	
<u>Current Residual Risk</u>		<p><u>Score</u> CI</p>	<u>Target Residual Risk</u>	<p><u>Score</u> DI</p>
MITIGATION				
Ref: Action	Lead Officer	Desired Outcome / Expected Output	Milestones	Progress update
SR 37.01 Secure configuration: Remove or disable unnecessary functionality from systems, and to quickly fix known vulnerabilities.	Head of ICT	Patch Management regime in place to treat known vulnerabilities		
SR 37.02 Network security: Create and implement policies and appropriate architectural and technical responses, thereby reducing the chances of attacks succeeding	Head of ICT	Network policies in place to prevent attacks		

<p>SR 37.03 Managing user privileges: All users should be provided with a reasonable (but minimal) level of system privileges and rights needed for their role. The granting of highly elevated system privileges should be carefully controlled and managed.</p>	Head of ICT	User policies in place to ensure system privileges meet role requirements		
<p>SR 37.04 User education and awareness: Users have a critical role to play in their organisation's security and so it's important that security rules and the technology provided enable users to do their job as well as help keep the organisation secure. This can be supported by a systematic delivery of awareness programmes and training that deliver security expertise as well as helping to establish a security-conscious culture</p>	Head of ICT	Information and cyber security training available to all system users. Staff induction references cyber security risks and user responsibilities for risk treatment		
<p>SR 37.04 Incident management: All organisations will experience security incidents at some point. Investment in establishing effective incident management policies and processes will help to improve resilience, support business continuity, improve customer and stakeholder confidence and potentially reduce any impact.</p>	Head of ICT	ICT security policies in place and regularly reviewed. Any recognised cyber security incident is reported to appropriate board		
<p>SR 37.05 Malware prevention: Malicious software, or malware is an umbrella term to cover any code or content that could have a malicious, undesirable impact on systems. Any exchange of information carries with it a degree of risk that malware might be exchanged, which could seriously impact your systems and services. The risk may be reduced by developing and implementing appropriate anti-malware</p>	Head of ICT	Policies in place to monitor and capture known malicious code.		

<p>policies as part of an overall 'defence in depth' approach.</p>				
<p>SR 37.06 Monitoring: System monitoring provides a capability that aims to detect actual or attempted attacks on systems and business services. Good monitoring is essential in order to effectively respond to attacks. In addition, monitoring allows you to ensure that systems are being used appropriately in accordance with organisational policies. Monitoring is often a key capability needed to comply with legal or regulatory requirements</p>	Head of ICT	Security Incident and event management (SIEM) systems in place.		
<p>SR 37.07 Removable media controls: Removable media provide a common route for the introduction of malware and the accidental or deliberate export of sensitive data. You should be clear about the business need to use removable media and apply appropriate security controls to its use.</p>	Head of ICT	Removable media policies in place with security controls on user devices		
<p>SR 37.08 Home and mobile working: Mobile working and remote system access offers great benefits, but exposes new risks that need to be managed. You should establish risk based policies and procedures that support mobile working or remote access to systems that are applicable to users, as well as service providers. Train users on the secure use of their mobile devices in the environments they are likely to be working in.</p>	Head of ICT	Policies in place to ensure mobile working devices are managed and monitored for security breaches. Two factor authentication (2FA) policies in place to manage remote access to systems		
<p>Opportunities and the way forward</p>				
<p></p>				

Corporate Risk: SR38 Transfer of Waste Contract To Medway Norse		Risk Owner: Assistant Director Front Line Services		
		Portfolio: Front Line Services		
Inherent Score: All	Target Residual Score: EIII	Last Review: January 2019	Current Residual Score: BII	
<p><u>Threat / Inherent Risk</u></p> <p>Without a waste contract, the council will fail to meet its statutory duty to collect waste and cleanse the public highway. Without a depot, Medway Norse cannot mobilise waste operations and Medway fails to meet its statutory duty.</p> <p>If Medway Norse and Medway Council ICT fails to integrate there would be inefficiency in the process to manage working operations of jobs.</p> <p>If legal terms are not agreed to incorporate the waste contract into the Medway Norse Joint venture, the depot arrangement cannot be secured, ICT software will not be purchased, service specifications and payment mechanisms will be un-ratified and failure to include corporate council policies in contracts i.e. GDPR, charging and uplifts, SOA could result in legal challenge.</p> <p>Veolia have the only local waste transfer station and can dictate whatever terms they wish.</p> <p>Partnership agreement fails.</p> <p>Costs cannot be finalised until agreements for the depot, material disposal and overheads are made.</p>		<p><u>Score</u></p> <p>All</p>	<p><u>Triggers</u></p> <p>A deal is not secured for a new depot.</p> <p>Failure to transfer service requests from council systems to Norse for action.</p> <p>Failure to allocate responsible for the ICT connection and build.</p> <p>Legal documents are not completed on time.</p> <p>No recycle disposal and transfer station agreement.</p> <p><u>Consequence</u></p> <ul style="list-style-type: none"> • Failure to mobilise waste service. • Increased operational costs. • Mobilise from a temporary site (eg Pier Approach Road). • Demoralised workforce. • Reputational damage – media. • Increased air pollution and congestion. • Regulatory risk if operations are unlicensed. • Increased complaints and customer enquiries. • Failure to deliver corporate performance targets. • Collected recycling sent for landfill/energy recovery 	
<p><u>Current Residual Risk</u></p> <p>The Council have strong management of the current outgoing contract with Veolia, including negation on potential disposal routes post October for recycle via Medway Norse. The Council is working in partnership with Norse to mobilise the waste collection and cleansing contract.</p> <p>Securing a licenced depot site continues to be the most taxing issue outside the councils control. However Medway Norse Director is exploring numerous avenues. ICT integration and agreeing legal terms are the focus of council activities.</p>		<p><u>Score</u></p> <p>BII</p>	<p><u>Target Residual Risk</u></p> <p>Legal terms agreed with Medway Norse including recycle transfer and disposal. Operational depot functionality from August 2019. Full integration of ICT.</p>	<p><u>Score</u></p> <p>EIII</p>

Mitigation				
Ref: Action	Lead Officer	Desired Outcome: Expected Output	Milestones	Progress update
<p>SR 38.01: Secure a depot site for daily operation of the waste services</p> <p>The waste service requires a 2.5 acre depot site to operate the 75+ collection and cleansing vehicles daily from 6am, preferably with commercial neighbours.</p>	<p>Head of Environmental Services & Medway Norse Partnership Director</p>	<p>Medway Council Legal team reviewing lease</p> <p>Review all potential council and non-council sites in conjunction with Planning and Property</p> <p>Identify 1 or more potential sites in the short and medium term</p> <p>Agree legal mechanism between the council and Norse for development of Depot site (25yr lease likely)</p> <p>Secure planning permission and initiate Environment Agency permissions</p> <p>Operating Licence application</p> <p>Complete depot site preparation works (workshop build, ICT, storage, office etc.)</p> <p>Depot site operational go-live</p>	<p>Oct 2018</p> <p>Nov 2018</p> <p>Jan 2019</p> <p>Feb 2019</p> <p>Mar 2019</p> <p>Jul 2019</p> <p>Aug 2019</p>	<p>January 2019</p> <p>Veolia advised they were no longer willing to consider assigning the depot least to Medway Council. Legal confirmed the council had no authority to challenge. Suitable sites are scarce in Medway and the project team have been working with other council departments to identify possibilities (2.5 acres and above). Medway Norse are in discussion with several sites. If these are not available by 1st October 2019, the waste collection & street cleaning service could mobilise from an existing site dependant on successful application of full Operating Licence from the Driver and Vehicle Standards Agency (DVSA). This temporary measure would require the other Medway Norse services to relocate and would bring additional costs. Talks have progressed with a site suitable as an operational waste depot (vehicle parking, office space, storage) and workshop. Costs should be available in late January/February 2019.</p>
<p>SR 38.02: ICT Integration Plan</p>	<p>Head of Environmental Services</p>	<p>Agree integration pathways between partners</p> <p>Process map existing “as is” processes with Veolia systems and “to be” processes with Norse systems</p> <p>Build UPRN operational round data for collections and cleansing</p> <p>Testing</p>	<p>Aug 2018</p> <p>Dec 2018</p> <p>Jan 2019</p> <p>May 2019</p>	<p>January 2019</p> <p>ICT Process maps are being developed with Norse. Resource now allocated by ICT to lead on ICT integration. Resource allocated by Environmental Services to compile operational round data in UPRN format.</p> <p>Transformation and ICT agree the council integration pathway will be with Confirm (not Jadu/Lagen) to exchange operational service requests with Bartec, Medway Norse’s ICT system.</p>
<p>SR 38.03: Agree legal terms for transfer of waste service to Medway Norse</p>	<p>Head of Legal Services</p>	<p>Cabinet approval for service transfer</p> <p>Legal agreements drafted</p> <p>Review service specification</p>	<p>Mar 2018</p> <p>Jan 2019</p> <p>Mar 2019</p>	<p>January 2019</p> <p>Draft Heads of Terms have been compiled by Medway Legal services. The overhead approach will be discussed at a wider Medway Norse strategic meeting</p>

				on 11 February 2019.
SR 38.04: Agree 24 month contract for recycle disposal and transfer of organic and recycle waste	Head of Environmental Services & Medway Norse Partnership Director	Research options and market rates Agree procurement mechanism Award 2 year contract	Jan 2019 Jan 2019 Mar 2019	<p>January 2019</p> <p>Clarity on the detail of Veolia's quote for use of the White Wall Road Waste Transfer Station and disposal of recyclates has been requested</p> <p>Opportunities for alternative treatment facilities are being explored, but these are dependent on transfer station availability.</p> <p>It is likely that the Veolia transfer station will be required for 12-24 months. This will remain a high risk item and unfunded pressure.</p> <p>Two additional facilities have been identified but may require service change and are unlikely to be operation by 1st October 2019.</p>
Opportunities and the way forward				
<p>Transferring the waste collection and cleansing contract to Medway Norse allows greater service flexibility allowing in contract changes. Moving forward opportunities from Transformation will be investigated once the Confirm-Bartec integration has been established.</p> <p>Electric vehicles were considered for the street cleansing fleet, however the technology is in its infancy and the charging infrastructure in Medway would not support HGV options. Low emission vehicles have been chosen where possible.</p>				