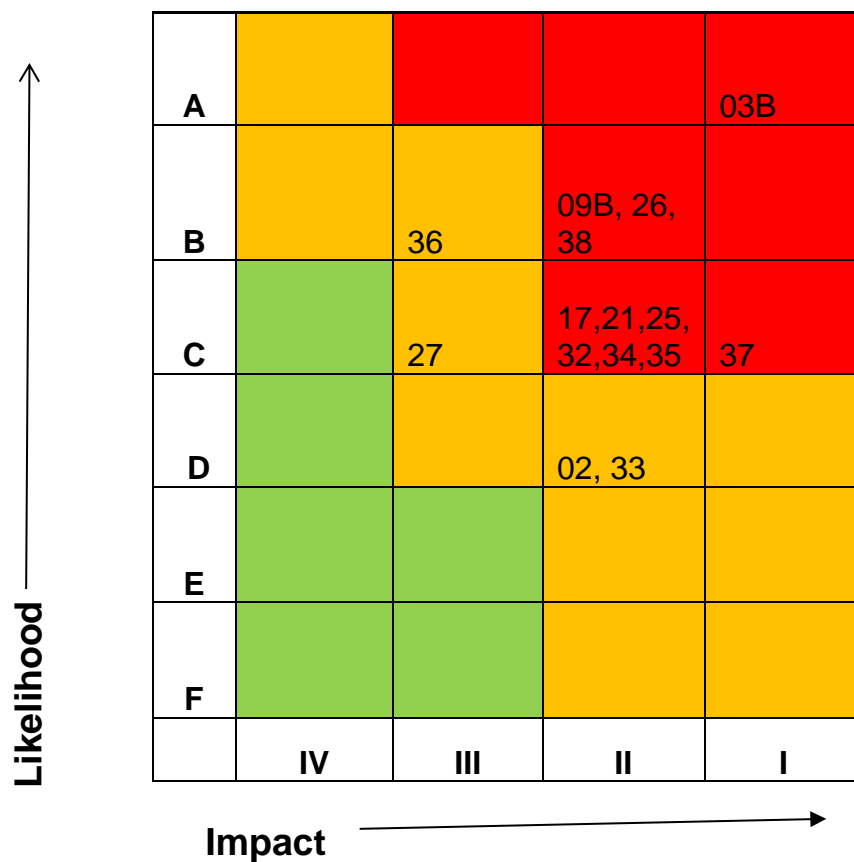


Medway Council Strategic Risk Register - Quarter 1 2019/20

| Ref | Page | Risk | Owner | Inherent Risk Score | Current Residual Risk Score | Target Residual Risk Score | Move ment (since last qtr) | Definition (current score) (L-likelihood) (I-impact) | Council Priority/ Ways of Working (WOW) | O&S Committ ee |
|-------|------|--|--|---------------------|-----------------------------|----------------------------|-------------------------------|---|---|----------------|
| SR02 | 3 | Business continuity and emergency planning | Director of RCET | C1 | DII | DII | → | L - low I - critical | All/WOW | BS |
| SRO3B | 5 | Finances | Chief Finance Officer | AI | AI | CIII | ↑ | L – very high I - catastrophic | All/WOW | BS |
| SRO9B | 8 | Keeping vulnerable young people safe and on track | Director of People – C&A | BII | BII | BII | → | L - high I - critical | People | CYP |
| SR17 | 12 | Delivering regeneration | Director of RCET | BII | CII | DII | → | L - significant I - critical | Growth | RCE |
| SR21 | 16 | Procurement savings – capacity and delivery | Chief Legal Officer | AII | CII | DIII | → | L - significant I - critical | All/WOW | BS |
| SR25 | 18 | Adult social care transformation | Director of People – C&A | CII | CII | DII | → | L - significant I - critical | People | HASC |
| SR26 | 23 | Children’s services | Director of People – C&A | AII | BII | BII | → | L - high I - critical | People | CYP |
| SR27 | 27 | Government changes to Local Authority’s responsibility for schools | Director of People – C&A | BII | CIII | CIII | → | L - significant I - marginal | People | CYP |
| SR32 | 29 | Data and information | Chief Legal Officer | BII | CII | DIII | → | L - significant I - critical | All/WOW | BS |
| SR33 | 31 | Impact of welfare reform | Chief Finance Officer | CII | DII | DIII | → | L - low I - critical | All/WOW | BS |
| SR34 | 35 | Successful delivery of the corporate transformation programme | AD Transformation | BII | CII | DII | → | L - significant I - critical | All/WOW | BS |
| SR35 | 42 | Homelessness | AD Physical and Cultural Regeneration | BII | CII | CII | → | L - significant I - critical | Growth | BS |
| SR36 | 45 | Alternative service delivery models | AD Transformation, Chief Legal Officer, Director of RCET | BII | BIII | CIII | → | L - high I - Marginal | All/WOW | BS |
| SR37 | 48 | Cyber Security | AD Transformation | CI | CI | DI | → | L - Significant I - Catastrophic | All/WOW | BS |
| SR38 | 52 | Transfer of waste contract to Medway Norse | AD Front Line Services | AII | BII | EIII | → | L - high I - critical | Place | RCE |

Strategic 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 | Green |
| Medium risk/priority | Yellow |
| High risk/priority | Red |

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|--|---------------------|--|--|------------------------------------|
| Corporate Risk: SR02 Business continuity and emergency planning | | | Risk Owner: Director of RCET and Deputy Chief Executive | |
| | | | Portfolio: Business management (cross cutting) | |
| Inherent Score: CI | | Target Residual Score: DII | Last Review: June 2019 | Current Residual Score: DII |
| <u>Threat / Inherent Risk</u> Duties under the Civil Contingencies Act require councils to have an Emergency Plan. The Emergency Management and Response Structure may not be robust enough to respond to a major emergency. Every business activity is at risk of disruption from a variety of threats, which vary in magnitude from catastrophic through to trivial, and include pandemic flu, fire, flood, loss of utility supplies and accidental or malicious damage of assets or resources. 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. | | <u>Score</u> CI | <u>Trigger</u> A significant adverse event occurs and the Council is found wanting or negligent in its planning and/or operational response. <u>Consequence</u> <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'. | |
| <u>Current Residual Risk</u> 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. An annual presentation on Business Continuity is included at a meeting of all council Service Managers. 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. The Corporate Business Continuity Plan is currently being refreshed and is aligned to the Emergency Plan. | | <u>Score</u> DII | <u>Target Residual Risk</u> The Council will never be able to reduce the risk further as it is impossible to completely mitigate unforeseen adverse events. 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. | <u>Score</u> DII |
| Mitigation | | | | |
| Ref: Action | Lead Officer | Desired Outcome / Expected Output | Milestones | Progress update |
| SR 02.01: Continued | Director of | Revised plan agreed by Corporate | Draft plan in | June 2019 |

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| review and develop the Council's Major Emergency Plan (MEP) including any Lessons Identified | Regeneration, Culture, Environment & Transformation | <p>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>place.</p> <p>Call out arrangements in place covering all roles & responsibilities 24/7 (enhanced during LA stand down Periods).</p> <p>Relevant staff training during 2019.</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. The MEP has been tested during a number of Incidents during 18/19.</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. Medway Councils MEP and is due for review during the 20/21 period.</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>Plans tested</p> <p>Business Continuity Audit 2017 actions completed in 2018.</p> | <p>June 2019</p> <p>A dashboard to monitor the refresh of business continuity plans by April each year 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 | | | | |
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| Corporate Risk: SR03B Finances | | Risk Owner: Chief Finance Officer | | |
| | | Portfolio: Leader's | | |
| Inherent Score: AI | Target Residual Score: CIII | Last Review: July 2019 | Current Residual Score: AI | |
| <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 Council benefitted from its involvement in the Kent and Medway 100% business rate retention pilot. In spite of significant demographic pressures, it was able to increase general reserves by around £2.7m. Demographic pressures remain an issue and in addition to the usual pressures in adult social care and children's care there is a rapidly emerging growth in the number of pupils with SEND requiring Education, Health and Care Plans. This is a national problem and most upper tier authorities are reporting similar trends. If the Government do not act quickly and decisively, this could place an irrecoverable burden on local authority finances.</p> <p>Also, there is no clarity nationally over future local government financial settlements and for that reason, the current residual risk has been increased to its previous score.</p> | | <p><u>Score</u></p> <p>AI</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> |

| Mitigation | | | | |
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| 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 | August 2019 An unqualified audit opinion including positive VFM conclusion was received in respect of the 2018/19 accounts. Officers responded to consultation around the future of local government funding, but as yet little certainty has been offered by Government for next year and beyond. The MTFS has assumed a flat cash settlement for 2020/21, with funding to address pressures reliant on increases in the tax base. |
| 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 | August 2019 Cabinet will be asked to agree the Medium Term Financial Strategy and Capital Strategy in September, alongside the refreshed Council Strategy, aligning the financial strategies with the Council's corporate priorities. The MTFS will identify a 'gap' between the budget requirement and the resources available. It will however outline the Council's broad strategy to address this, with a view to delivering a balanced budget for 2020/21, when the Council is asked to agree the budget in February. In the absence of any clarity from Government regarding the financial settlement, this will be challenging. |
| SR03B.03: Create resources for investment priorities | Corporate Management Team | Track funding opportunities Maximise capital receipts on asset disposal Prudential borrowing Revenue returns from investments and capital assets and appreciation in capital asset values | On-going | August 2019 The Council's current capital programme is ambitious and represents around £295million of investment. The major part of this will deliver economic regeneration in the form of more homes and commercial space, but will also generate net revenue returns and capital receipts. |

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| 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 | August 2019 With the Transformation team now embedded in the Council's establishment, as 'business as usual', it will not be allocated a specific savings target , but rather will be expected to support the whole organisation in delivering the savings required to balance the budget year on year, without recourse to reserves. |
| Opportunities and the way forward | | | | |
| <p>The key to improving the effectiveness of the Council's financial planning and management is to address the uncertainty around future funding and improve the forecasting of cost pressures. Our external advisors and professional networks already provide the best available intelligence around Government expenditure plans, however the Finance Management Team have also been working closely with colleagues within the Planning and Regeneration teams, with a view to more accurately projecting future council tax and business rates. The way the accountants work with managers has subtly changed too, with financial forecasts produced more collaboratively and with a view to achieving a consistent narrative running through the quarterly monitoring and the future financial plans.</p> <p>Finally, the Medium Term Financial Strategy has, as its theme, financial resilience and sustainability, with a clear focus on managing and rebuilding reserves.</p> | | | | |

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| Corporate Risk: SR09B keeping vulnerable young people safe and on track | | | Risk Owner: Director of People – Children And Adults Services | | |
| | | | Portfolios: Children's Services (Lead Member) and Education and Schools | | |
| Inherent Score: BII | | Target Residual Score: BII | | Last Review: August 2019 | 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 | | <u>Score</u> BII |
| MITIGATION | | | | | |
| Ref: Action | Lead Officer | Desired Outcome: Expected Output | Milestones | Progress update | |
| SR 09b.04: The additional demands of the SEND reforms and increase in the number of children with complex needs and those excluded from school place significant pressures on the Dedicated Schools Grant High Needs Block. | Director of People - C&A | Improved outcomes for children and young people as per SEND strategy Ensuring service delivered within budgetary constraints. Good management information to inform commissioning and robust challenge. Provision made within budget SEND Strategy developed and implemented. Joint SEND Improvement Action Plan developed with CCG. Need strategy for pupils excluded and those at risk of exclusion. Early Help/Intervention services needs to be designed/implemented. | Less out of area SEND placements More children being educated in mainstream schools with outreach Increased local specialist provision Fewer exclusions fixed term and permanent | August 2019 Pressure on budgets continues due to further demand increases. There continues to be a significant rise in the number of EHCP requests and requests for increases support funding for children from schools. Work has been done to attempt to mitigate via the Placements Financial Recovery Group. A deficit recovery plan for the DSG has been submitted to the DFE and engagement with officials is awaited. | |
| SR 09b.05: The recent | Director of | Successfully implement the 2014 | There are four NHS | August 2019 | |

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| <p>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>People - C&A Director of CCG</p> | <p>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>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>We are now 18 months into the Written Statement of Action work. We anticipate that we will have SEND Re-Visit before December 2019. The preparation for this is underway and work is monitored via the SEND Improvement Board, as chaired by the Lead Member for Children’s Services, and Chief Nurse of the CCG.</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 People - 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 Launch strategy Use of intelligence informs commissioning</p> | <p>July 2019</p> <p>Multi-agency group can deliver against JTAI action plan. Work is on-going. This is overseen by MSCB Executive not Children and Young Peoples Delivery Board.</p> <p>MASH now established and operating effectively.</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 in place to track this.</p> | <p>Director of People - C&A</p> | <p>Reduction in first time entrants, reoffending, use of Custody. Effective analysis of data to inform practitioners input. - Ensuring service delivered within budgetary constraints. Magistrates have confidence in interventions.</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>August 2019</p> <p>Applied national standards in full and kept some old standards to ensure we maintain a high expectation on practice.</p> <p>Data and performance improving and using the national YJAF system to better use.</p> <p>Audits continue to reflect good work and we are consistent. Feedback in focused visit spoke positively</p> |

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| | | <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>on the work of YOT.</p> <p>New delivery plan recently sign off by the partners and the youth justice partnership board with an aim to complete a new strategy for April 2020.</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> | <p>Director of People - Children & Adults</p> | <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>Multi agency and single agency</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>August 2019</p> <p>Missing and Exploitation panel is being held fortnightly linking with MCET.</p> <p>TOR for panel is to be reviewed to reflect accountability of actions,</p> <p>Safety planning has been completed as part of FIP training.</p> <p>Mapping sessions with social workers is regularly taking place to develop a picture of Medway's Children and to link associations.</p> <p>Weekly information is sent to Kent Police sharing learning from RHI to support intelligence sharing</p> <p>Hotspots are being identified and joint disruption work with Police is being undertaken</p> <p>CSE, Missing Strategy in place</p> <p>More work with MSCP to take place and support risk groups including criminal exploitation</p> |

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| | | <p>approved consistent training is completed by all staff.</p> <p>All child protection courses make direct reference to CSE and missing</p> <p>Awareness raising campaign agreed and implemented.</p> | | |
| <p>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>Director of People - C&A</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>August 2019</p> <p>MASH analyst is now in place producing weekly data for First Response</p> <p>CSE and Missing Strategy in place</p> <p>Prevent and Channel working well and will be integrated with Vulnerabilities panel. Higher understanding needed through training on WRAP in Children’s Services</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> | | | | |

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| Corporate Risk: SR17 Delivering regeneration | | | Risk Owner: Director of RCET and Deputy Chief Executive | |
| | | | Portfolio: Inward Investment, Strategic Regeneration and Partnerships | |
| Inherent Score: BII | | Target Residual Score: DII | | Last Review: May 2019 |
| | | | | Current Residual Score: CII |
| <u>Threat / Inherent Risk</u> | | <u>Score</u> | <u>Trigger</u> | |
| <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> | | BII | <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. | |
| <u>Current Residual Risk</u> | | <u>Score</u> | <u>Target Residual Risk</u> | <u>Score</u> |
| <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> | | CII | <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> | DII |
| 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 | May 2019 The Housing Infrastructure Fund (HIF) business case was submitted to central government to schedule in March 2019 This opportunity, |

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| | | 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 | if successful, would see the development of rail, highways, schools and other infrastructure to unlock the development of up to 10,600 homes and 30,000 construction-related jobs on the peninsula. Local Growth Fund (LGF) funded projects (with a combined value of over £40m) continue to make a major contribution to infrastructure delivery in Medway. £1.5m additional funds were allocated to the Innovation Park Medway project in April 2019 from LGF3b, and work is well underway in Strood Town Centre's £9m regeneration project. Three projects – Cycling Action Plan, Civic Centre Flood Defences and Chatham Placemaking – are now fully or substantially complete. |
| 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 | May 2019 A HIF bid for £170m of infrastructure interventions on the Hoo Peninsula to directly enable the delivery of 10,600 homes was submitted in March. From then until the end of May there was continued dialogue with Homes England (HE) to clarify points in the bid and to inform the recommendation report to the decision makers in MHCLG. It is anticipated that a decision is expected by the end of the year. 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 including developers to lever in external funding and bring forward transformational programmes. | Director of RCET | External financial arrangements to fund transformational programmes and deliver plans that are implemented on time and to budget. Investors come forward for regeneration sites. | As detailed in individual delivery plans. | |
| SR 17.04: Working with the Local Enterprise Partnership to attract funds to Medway. | Director of RCET | External financial arrangements to fund transformational programmes and deliver plans that are implemented on time and to budget. Create and protect long-term jobs in the private sector, and programmes which will deliver sustainable jobs. <u>Growing Places Fund (GPF):</u> £4.4m Rochester Riverside; £2.99m Chatham Waterfront. | As detailed in individual delivery plans. | May 2019 Medway has made successful bid submissions to SELEP for nine LGF projects, totalling over £40m across four bidding rounds. This includes the recent award (April 2019) of £1.5m of LGF3b funding to the Innovation Park Medway (IPM). Medway has also successfully bid for over £8m across three rounds of Growing Places Fund (GPF) loan investment, supporting Chatham Waterfront, Rochester Riverside and the IPM. |

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| | | £650K Innovation Park Medway £41.7m Local Growth Funding from the Local Enterprise Partnership. | | |
| SR17.05: Working towards the adoption of the new Medway Local Plan. | Director of RCET | New Local Plan and Planning Policy Guidance adopted to guide Medway's sustainable growth. To prepare the Medway Local Plan and as outlined in the Local Development Scheme published December 2018 | Publication of Draft Local Plan 2019 Independent Examination of plan - 2020 | June 2019 Working to publication of draft Local Plan with proposed development allocations and policies to manage Medway's growth. Strategy supported by comprehensive evidence base and assessment processes to meet tests of independent Examination. Joint work on infrastructure planning with HIF project team. |
| SR17.06: To seek additional external funding opportunities. | Assistant Director Physical and Cultural Regeneration | Ensuring Medway's Regeneration programme is delivered. Additional funding streams identified and secured. | Secure funding for Council owned sites. | May 2019 In 2018/19 we were successful with 77% of bids submitted. We secured £3,319,000 in addition to developing the HIF Business Case. We have now submitted the HIF Business Case to secure £170million, including a substantive post submission clarification period, which included an in-depth analysis of our proposal by real estate auditors Deloitte. We submitted a strong Expression of Interest to the Future High Streets Fund. Whilst competition will be fierce, our EOI presents a very strong case compared to other locations. We anticipate a decision of which Councils progress to the full business case stage in the Summer 2019. We secured £1,000,000 from the Arts Council Youth Performance Participation Fund as one of only five places to secure the funding across the UK. This will enable us to be a leader in the field for theatre education, fully maximising our cultural offer and complementing town centre regeneration. This will prepare the ground for City of Culture. We secured £240,000 from One Public Estate round 7 to complement previous awards from round 4 and 6. This will finance the feasibility of development at three sites: Temple Marsh, Hoo NHS sites and Chatham Interface Land. |
| SR17.07: Submission of a successful | Assistant Director | Delivering major infrastructure improvements to unlock the | Business case submitted | May 2019 A HIF bid for £170m of infrastructure interventions on the Hoo |

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| Business Case for Housing Infrastructure Fund (HIF) funding for the peninsula. | Physical and Cultural Regeneration | potential of the Hoo peninsula. £170m secured via a successful Business Case submission. | either December 2018 or March 2019 Decision 4 months post submission. | Peninsula to directly enable the delivery of 10,600 homes was submitted in March. Since then till the end of May there was a continued dialogue with Homes England to clarify points in the bid and to inform the recommendation report to the decision makers in MHCLG. It is anticipated that a decision is expected by the end of the year. |
| 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. | | | | |

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| Corporate Risk: SR21 Procurement savings – capacity and delivery | | | Risk Owner: Chief Legal Officer | | |
| | | | Portfolio: Resources | | |
| Inherent Score: All | | Target Residual Score: DIII | Last Review: July 2019 | 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 2019 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. | |

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| | | | | Directorate Management Teams review the performance of savings delivery in year and suggest corrective action and ensure that procurement processes are not unduly delayed. |
| 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 2019 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. This enables those savings to be removed from budgets. |
| SR 21.03: Regular updates to Leader and other relevant Portfolio Holders | Chief Finance Officer Chief Legal Officer Partnership Commissioning | 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 2019 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 | 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 2019 As an example, the December 2018 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 | Good regular engagement with suppliers. Regular discussions about performance and savings. Contract management data | On-going | July 2019 Contract specific supplier engagement events are held throughout the year where appropriate to ensure good market engagement, co-design and competition. |
| Opportunities and the way forward | | | | |
| There may be opportunities to share procurement resources with other Councils. | | | | |

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| Corporate risk: SR25 Adult Social Care Transformation | | Risk Owner: Director of People – Children And Adults Services | |
| | | Portfolio: Adults' Services | |
| Inherent Score: CII | Target Residual Score: DII | Last Review: August 2019 | 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 19/20 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 sleep 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>Number of providers at risk of liquidation which results in financial pressures for the local authority when seeking alternative placements</p> |

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| <p>Current Residual Risk</p> <p>We have rolled out the 3 conversations approach, which aims to prevent, reduce and delay the need for services, and there is evidence that this approach has helped to manage demand into the service.</p> <p>Levels of safeguarding enquiries have increased in the last two years, and this is putting pressure on resources within the service.</p> <p>Significant work has been undertaken in partnership in regard to hospital discharges, significantly reducing and maintaining a reduction in the number of DTOCs.</p> <p>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.</p> | <p>Score</p> <p>CII</p> | <p>Target Residual Risk</p> <p>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.</p> | <p>Score</p> <p>DII</p> | |
| <p>Mitigation</p> | | | | |
| <p>Ref: Action</p> | <p>Lead Officer</p> | <p>Desired Outcome / Expected Output</p> | <p>Milestones</p> | <p>Progress update</p> |
| <p>SR 25.01: Commissioning sufficient capacity and a suitably wide range of services to meet need.</p> <p>Prevention, including technology enabled care services, early help and short term services to maximise independence.</p> <p>Close management oversight, and action as required, to manage the budget. Short term management actions are being taken to reduce any overspend.</p> | <p>Assistant Director Adult Social Care</p> | <p>Best outcomes for people (as per their support plans) and best value for the Local Authority as statutory body and commissioner.</p> <p>A safe and stable local sector of providers that can meet our local needs and provide high quality care and support to older people, disabled adults and carers.</p> <p>All clients are offered Personal Budgets/Direct Payments.</p> <p>Joint strategies and commissioning plans with NHS.</p> <p>The Provider Forum engages the sector and assists us to work in partnership in a meaningful and effective way.</p> <p>ASC Strategy and associated key projects.</p> <p>Monthly scrutiny of budgets at</p> | <p>Personal Budgets performance as per KPI.</p> <p>Category Management project on high cost placements</p> <p>End of year spend within budget.</p> <p>Programme developed and underway.</p> <p>Dynamic Purchasing System.</p> <p>Increase the number and</p> | <p>July 2019</p> <p>The 3 conversations approach, which aims to prevent, delay and reduce needs is being rolled out across the service.</p> <p>A best practice panel, which is chaired by the Heads of Service in 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 Operations Managers.</p> <p>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.</p> <p>The proportion of people receiving Direct Payments has not increased to the level required to meet our target.</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</p> |

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| | | Adults Management Team and audits of practice and Personal Budgets/Direct Payments. Management action as required. | effectiveness of reviews. Reduction in delayed transfers of care | uptake of direct payments but offer carers and service users more choice A business case for the joint recommissioning of homecare and residential / nursing care has been completed and signed off. |
| 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. | Director of People Children & Adults Services | People in receipt of Health and Social Care Support are not deprived of their liberty illegally. DoLS applications to Medway as a Supervisory Body are processed and assessments carried out within timeframes. DoLS process is digitalised to create efficiencies Increase in training for BIA's. Expend the number of senior officers to act as authorisers | Reduction in the number of DoLS cases awaiting authorisations | August 2019 The Council continues to triage all DOLS referrals and to carefully prioritise using the ADASS screening tool. 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. The number of cases waiting assessment has been further reduced to 169, from a peak of some 450 with 110 currently waiting to be authorized (down from 131 in October 2017). 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 rollout of the forthcoming Liberty Protection Safeguards legislation, in October 2020 seeks to address. |
| 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. Agree how the IBCF funding will be used to meet the strategic | AD Adult Social Care | To describe Medway's potential for integration by nationally set timeframes Working closely with Health partners and voluntary sector to agree what the local care offer will be. Involvement in STP Boards to | To be able to define what the local Care offer will be from April 2017. Involvement in | July 2019 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 has increased the number of front line unqualified staff. |

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| objectives as set out by the DOH and DCLG | | ensure the LA gets a Voice. | public Consultation Summer 2017 | Plans for closer working with health services are being taken forward through the STP local care arrangements with weekly Integrated Local Review meetings now implemented across Medway. DToC rates have been improved substantially and are now well below the national average. This improvement has been sustained. |
| SR 25.05: That the intermediate care, MICES, rapid response and discharge arrangements to put additional pressure on the ASC budgets | Director of Public Health & Assistant Director Adult Social Care | Additional pressure not put on ASC budgets Delivery of effective Integrated Commissioning activity. | Ensure appropriate contributions from health. Complete targeted reviews of ASC cases <i>Underway.</i> Approval granted for MICES to be re-procured. Utilising BCF/IBCF monies effectively to minimise impact on social budgets. <i>Ongoing</i> | July 2019 Plans for further integration are being taken forward through the STP local care arrangements. Delayed Transfers of Care are now consistently low and hospital discharge arrangements will be further strengthened by the creation of a completely integrated hospital discharge service, led by a single head of service. 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. The Transforming Care Programme is an emerging risk as significant facets of this remain unresolved at national, regional and local levels. Any potential pressure from the intermediate care, rapid response and discharge arrangements is being counterbalanced by current work underway to provide greater efficiencies across the health and social care system including development of Integrated Discharge Service, streamlined discharge pathways to community and real time visibility and flexibility of community beds providing a more dynamic effective way of managing cost and demand pressures. |
| <p>Opportunities and the way forward</p> <p>A project to develop a new approach to the delivery of Community Based Care, with an increased focus on personalisation and the use of Direct payments is currently being scoped as part of the next phase of our transformation. The recommissioning of our domiciliary care framework is intended to enable further alignment with community health services, and to provide greater resilience of provision. This includes plans to embed pilot projects, such as a Homecare Bridging Service, which has helped us to maintain low levels of DTOC.</p> | | | | |

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| Corporate risk: SR26 Children's Services | | | Risk Owner: Director of People – Children And Adults Services | | |
| | | | Portfolio: Children's Services (Lead Member) | | |
| Inherent Score: All | | Target Residual Score: BII | | Last Review: August 2019 | 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. | |
| Mitigation | | | | | |
| Ref: Action | Lead Officer | Desired Outcome / Expected Output | Milestones | Progress update | |
| SR 26.01: Recruitment & retention & workforce development | Director of People - C&A Human Resources Service Team | Well trained & supported workforce. Permanent staff numbers. | As per strategy and plan. | July 2019 Current agency rate is 35%. Continuing recruitment campaign including 2 day community care event. ASYE programme embedded and increased demand for places. Step up programme now in second year, 4 (out of 5) ASYE social workers | |

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| strategy for children's social workers implemented. | | | | remain from this. |
| SR 26.02: Together We Can –Strategy has been implemented in response to Ofsted recommendations to strengthen quality of practice. | Director of People - C&A | Improved outcomes for vulnerable children. Improved educational outcomes for LAC. Reduction in timescale between placement order and moving in with adoptive family. Effectiveness of early help. | Educational outcomes LAC. Reduce delays in care proceedings. Percentages of families who have had a CAF/Early help Assessment, who have achieved desired outcomes at end of their intervention. | August 2019 Contract in place to collect KS 4 data (August 2019) to inform support and guidance for next steps for Y11 pupils. Improved practice for regular (3 times year) data collection to inform allocation of resources to support research based interventions in school – all statutory school age pupils. Establishment of regular briefings for school staff in strategies and practice to support looked after children, previously looked after children – these can also be utilised when supporting other vulnerable pupils. Focussed training for schools and social workers - understanding attachment and how trauma impacts on behavior. Focussed training for social workers (Foundations of practice – Sept 2019) to further equip them supporting vulnerable families and their engagement with schools. Refreshed PEP to be implemented September 2019. |
| SR 26.04: Implementation of the Children's Services Quality Assurance Framework | Director of People - Children and Adults Services | 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. | July 2019 The learning audit schedule has been created up until March 2020. Monthly learning workshops have been arranged to cover topical issues and practice development identified through audit activity. Moderation Panel now operating to review all audit activity. |
| SR 26.05: Strengthen MSCB. | Director of People - Children and Adults Services | Strengthened partnership arrangements for supporting vulnerable children. Stronger focus on the Board's priorities and objectives which includes robust scrutiny | Develop clear governance and strategic arrangements. Defining clear objectives for the sub-groups and working groups, looking at service | July 2019: The new safeguarding partnership arrangement goes live in September 2019. The governance structure has been streamlined. The three safeguarding partners are Medway Council, CCG and Kent Police. Policies and procedures are currently being redrafted and plans to recruit to the independent scrutineer role and the specialist for the secure estate assurance group is underway. |

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| | | and challenge amongst the partnership | delivery for children and families across the partnership. | |
| SR 26.06: Implementation of projects to better manage demand around edge of care and early help, including strengthening support to parents at home does reach desired outcome. | Director of People - C&A | Safely reduce C&YP entering and staying in the care system with resources in placement (to reduce breakdown). Edge of care response to increase through targeted youth support and family intervention. | Reduced demand for CSC services. | July 2019 Missing and exploitation lead started in Dec 2018. EHSW's are in place and working area based within the Child and Family Hubs. Fostering mentors remain within fostering. Multi-Disciplinary Agency (Health and Police) Staff now sit in the front door, to support joint working and to support SPA DAN triage. |
| SR 26.07 Troubled Families programme funded by DCLG | Director of People - C&A | 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 | August 2019 Continued to hit targets for 2018/19. Progress has seen Medway receive outstanding payment. Progress at the start of 2019 has been positive and we hope to see this deliver Payment by Results for the rest of the financial year. MHCLG happy with progress and waiting to find out later in October the continuation of a programme. If this is not agreed by central government, there will be some redundancies risks (planned and calculated for). |
| Opportunities and the way forward | | | | |
| Improved data and reporting will enable better management control. Implementation of projects managing demand, Strengthened role for MSCB. | | | | |

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| Corporate Risk: SR27 Government changes to Local Authority's responsibility for schools | | | Risk Owner: Director of Children and Adults | | | |
| | | | Portfolios: Children's Services (Lead Member) and Education and Schools | | | |
| Inherent Score: BII | | Target Residual Score: CIII | | Last Review: August 2019 | 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 school partnership rating so | Head of Education | Schools results in line with or exceed nationally expected progress measures. | Number of schools below floor threshold | August 2019 Unvalidated data shows that school performance at the end of KS1, KS2 and phonics, have all continued to | | |

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| <p>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>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>reduces Number of schools in an OFSTED category reduces and remains low. Number of coasting schools is low</p> | <p>improve, closing the gap to national. Primary schools have now reached the 3rd quintile of local authority areas, exceeding national performance in attainment at KS2. 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>Head of Education</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 | | |
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| | | Portfolio: Resources | | |
| Inherent Score: BII | Target Residual Score: DIII | Last Review: July 2019 | 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 Security and Information Governance Group (SIGG).</p> <p>The Council has a suite of information governance policies.</p> <p>The Council has information sharing agreements and protocols in place.</p> <p>The Council has taken part in a "Big Data" project without any risks 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 and when it occurs corrective action is taken quickly, learning implemented and accountability for future improved performance identified.</p> <p>Information sharing is commonplace and well managed.</p> | <p><u>Score</u></p> <p>DIII</p> |

| Mitigation | | | | |
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| 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 2019 The Council's policies and procedures have been reviewed with the advent of the General Data Protection Regulations (GDPR) which came into force in May 2018. There is a specific project focused on this work to continue to embed this important new approach to data protection |
| 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 2019 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 2019 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 2019 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 2019 The new IG team has been in place for some time. Additional recruitment is to take place after the departure of some key staff. |
| Opportunities and the way forward | | | | |
| As the current round of training to officers and Members embeds the risks associated with information governance should reduce. | | | | |

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| Corporate Risk: SR33 Impact of Welfare Reform | | Risk Owner: Chief Finance Officer | | |
| | | Portfolio: Leader's | | |
| Inherent Score: CII | Target Residual Score: DIII | Last Review: July 2019 | 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 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></p> <p>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></p> <p>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></p> <p>DIII</p> |

| Mitigation | | | | |
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| 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>June 2019</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>July 2019</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>July 2019</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>July 2019</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> |

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| | | <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</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. | Head of Housing | <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>June 2019</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> |
| SR 33.06: Delivery of the Employment Programme | Manager of 'Employ Medway' | <p>Support long term unemployed people into sustained employment.</p> <p>Generate reward grant to fund activity.</p> | Targets set under the programme | <p>June 2019</p> <p>Between August 2009 and January 2018 Employ Medway has supported 2,150 long-term unemployed or disadvantaged local residents 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</p> |

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| | | | | superseded by the Work and Health programme. The Work and Health Programme is well underway with new partnerships being formed within the welfare to work arena. New opportunities are being sought to support more Employment Support Allowance clients. |
| SR 33.07: Delivery of the Local Welfare Provision service | Director of Public Health | 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>July 2019</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. | | | | |

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| Corporate Risk: SR34 successful delivery of the corporate transformation programme | | Risk Owner: Assistant Director Transformation | |
| | | Portfolio: Resources | |
| Inherent Score: BII | Target Residual Score: DII | Last Review: June 2019 | 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 | | | | |
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| Ref: Action | Lead Officer | Desired Outcome / Expected Output | Milestones | Progress update |
| 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 | June 2019 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 | June 2019 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 | Assistant Director Transformation, in consultation with the 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 | June 2019 A Business Change Team has been established to continue delivering the benefits of the transformation programme and to build new capabilities for further improvements. The Business Change Team will focus on Business Change, Process Change, and Organisational Change. |
| SR34.04: Use specialist recruitment agency to help us attract staff experienced in digital | Assistant Director Transformation | Digital skills developed and retained in house Highly functioning team | Ongoing as required | June 2019 Staff from the digital and transformation teams have completed their JADU training and are now delivering online forms and processes at pace. JADU XFP (Forms) & CXM (Case Management System): The Live JADU system was implemented on 25th July 2018 by the supplier |

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| transformation, combined with developing internal talent through secondment programme. | | | | <p>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> |
| SR34.05: Clear transformation programme prioritises projects and resource allocation | Assistant Director Transformation | <p>Transparent process for prioritising projects to give balanced delivery of programme outcomes.</p> <p>Savings targets achieved</p> <p>Prioritised work programme with adequate resourcing. Business cases for any additional investment required</p> | <p>Service roadmap agreed</p> <p>Quarterly review of relative priorities by Transformation Board</p> | <p>June 2019</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> <p>A roadmap of Business Change projects has been produced and was submitted to transformation board in May 2019.</p> |
| SR34.06: Decisions are made by the Transformation Board / Cabinet to prioritise digital | Assistant Director Transformation, in consultation with the | <p>More expensive telephone and face to face channels are only used for complex services where customer need dictates this</p> <p>Customer access strategy and assisted</p> | <p>Customer access strategy agreed June 17. For each</p> | <p>June 2019</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</p> |

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| channels / digital only to maximise benefits realisation | Transformation Board | digital strategy | service going through the programme channel shift targets are agreed as savings are calculated | <p>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. We received 161 applications in the first 15 days.</p> <p>The following services are now live:</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 • Report or renew a lost or damaged disabled persons bus pass • Report or renew a lost or damaged older persons bus pass • 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 • Report illegal vehicle sales on the highway - re-prioritised for later in the year, not yet underway |
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| | | | | <ul style="list-style-type: none"> • Report illegal vehicle repairs on the highway - re-prioritised for later in the year – not yet underway <p>These forms have been selected as they currently generate circa 30,000 telephone calls and face-to-face transactions.</p> <p>New online services we've made live more recently include:</p> <ul style="list-style-type: none"> • Book a van visit to a recycling centre – live November 2018 • Become a Medway Champion – live November 2018 • Join the Medway social care talent pool – live November 2018 • Order a birth/death/marriage certificate – live November 2018. • Make a compliment/complaint/comment to the council – live April 2018 • Pledge to be a healthy workplace – live May 2019 • Capturing and reporting on tips use (Kent/Medway resident) – live May 2019 • Report an abandoned vehicle – live June 2019 <p>We have also made live the Medway Council customer account and an account for business owners, allowing them to see progress against Jadu 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>June 2019</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 sooner."</p> |

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| | | | <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.” 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>Make a complaint/compliment/comment to the council. Went live 1 April 2019 which included customer-facing forms, back office workflow and reporting. More than 100 colleagues have been trained in Jadu. During the first month, 78% of customers were self-serving for complaints, compared with 18% this time last year (April 2018).</p> <p>Book a van visit to a recycling centre – This new online service has seen a 67% shift to online, reducing the number of calls to the contact centre and the team. Users can now check if their vehicle is allowed in to the tip, book their space and receive email confirmation. ‘Fantastic! So much easier to book online. Well done Medway Council!’ – feedback from a customer.</p> |
| Opportunities and the way forward | | | |
| 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. | | | |

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| 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: June 2019 | Current Residual Score: CII | |
| <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 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. | June 2019 Work continues to ensure that the Council intervenes as early as possible in people's circumstances to prevent them from becoming homeless. The resource of the team has been reviewed to ensure that we remain compliant with statutory duties, the cost of this has been reduced but not fully met by new burdens funding. Work continues to focus the service towards preventative activity, however and increase in cases of approximately 16.25% in 2018/19 compared to 2017/18 |

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| | | | | demonstrates that there is still considerable demand for assistance. However, preventative activity has been successful with 818 case prevented or relieved from homelessness in 2018/19 compared to 418 in 2017/18. 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 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. Take forwards plans for the Council to intervene in the market to provide affordable housing. | Monitoring throughout 2017/18 Government P1E quarterly returns. | June 2019 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 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. | June 2019 Work continues to address the needs of rough sleepers at both operational and strategic levels. The Homelessness prevention strategy was adopted in August 2017 and sets out a range of actions that demonstrate how the Council intends to intervene. A revised strategy is being developed for 2019/20. The service has been successful in achieving approximately £1.3m in funding from MHCLG that has allowed for 65 rough sleepers to be placed in to accommodation. Work continues with the sector to develop sustainable plans for support to further alleviate rough sleeping. |
| SR35.04: Ensure that options for the provision of temporary accommodation are transparent and reviewed in light of grant funding changes rather than | Assistant Director Physical and Cultural Regeneration/ Head of 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 | Monitoring throughout 2017/18 Government P1E quarterly | June 2019 The Council's performance in relation to households in temporary accommodation continues to be strong, with the service seeing little overall growth in the last two financial years. Income collection from temporary accommodation has improved considerably and |

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| <p>subsidy to ensure that Medway is providing cost effective accommodation options.</p> | | <p>cost TA provision. Implement a “tenancy management” type structure for management of TA – Maximising the income achieved via Housing Benefit Minimise rise in price for TA units in the private sector Emergency use only for TA Provision that is outside of usual pricing structure.</p> | <p>returns. Budget Monitoring</p> | <p>continues to offset spending. Further proposals are being developed as to how the Council can diversify its provision of temporary accommodation to reduce the reliance on the private sector.</p> |
| <p>Opportunities and the way forward</p> | | | | |
| <p>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.</p> <p>Opportunities may be available to increase the amount of prevention of homelessness support offered by the Council by utilising the existing temporary accommodation budget.</p> | | | | |

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| Corporate Risk: SR36 Alternative service delivery models | | Risk Owner: AD Transformation, Chief Legal Officer, Director of RCET | |
| | | Portfolio: Leader's | |
| Inherent Score: BII | Target Residual Score: CIII | Last Review: July 2019 | 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. | | | | |
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| Mitigation | | | | |
| Ref: Action | Lead Officer | Desired Outcome: Expected Output | Milestones | Progress update |
| SR36.01: Robust options appraisals, detailed business cases prepared | Relevant Assistant Director for each Service | Ensure effective decision making The council only enters into arrangements that are beneficial to the service and/or budget and are sustainable | Cabinet considers all business cases prior to any alternative arrangements being agreed. | July 2019 Detailed business planning has taken place in preparation for the transfer of waste services to Medway Norse due to go live in October 2019. All four business areas for MCG are being reviewed. Business cases for Medway Development Company's pipeline of schemes, are 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 | July 2019 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. A further transfer of licensing services with GBC being the host authority has also been achieved successfully. The Council is working through a project board with Medway Norse to mobilise the new arrangements around waste collection from October 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 | Corporate Management | Delivery model and council held accountable for quality and cost | Ad hoc as necessary | July 2019 CMT has considered proposals for alternative delivery |

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| clear corporate understanding | Team | of service Council able to rely on financial information for robust financial planning High performance Financial resilience | | models before they are reviewed at Cabinet including the creation of the Medway Development Company Limited Overview & Scrutiny Committees have also conducted pre and post scrutiny of proposals. Regular reports of alternative delivery models are then made to Cabinet and Overview & Scrutiny Committees such as Medway Norse and Medway Commercial Group. |
| 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 | July 2019 Business Continuity and risk management discussions with Medway Norse and Medway Commercial Group take place at contract management meetings. |
| SR36.08: Manage the transition between the existing delivery model for SEN Transport and a new Service Delivery Model being implemented for 2018/19. | Head of Education | 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 | July 2019 The transition was managed well with Member and senior officer oversight |
| Opportunities and the way forward : | | | | |
| There are opportunities to consider further services that would fit the alternative deliver model. | | | | |

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| Corporate Risk: SR37 Cyber Security | | | Risk Owner: Assistant Director Transformation | | |
| | | | Portfolio: Resources | | |
| Inherent Score: CI | | Target Residual Score: DI | Last Review: June 2019 | 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></p> <p>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 | | |
| <p><u>Current Residual Risk</u></p> <p>The council manages cyber security risk, along with general information security risk, by having robust policies and procedures in place. These policies and associated actions are audited internally and externally with the result reported to appropriate council committees. In addition, the council is accredited against the Public Service Network code of connection criteria that provides assurances that the ICT infrastructure is managed and monitored using methods commensurate with recognised good practice and the guidance issued by CESHG.</p> | | <p><u>Score</u></p> <p>D1</p> | <p><u>Target Residual Risk</u></p> <p>The cyber security risk is omnipresent and only by constantly maintaining the information security environment at levels accredited by CESHG (PSN CoCo certification) can the council afford a degree of confidence that all that can be done is being done to mitigate the</p> <p>The Council needs to consistently complete external auditing and security internal and external penetration testing on an annual basis to keep target residual risk to D1 levels.</p> | <p><u>Score</u></p> <p>D1</p> | |
| MITIGATION | | | | | |
| Ref: Action | | Lead Officer | Desired Outcome / Expected Output | Milestones | Progress update |
| SR 37.01 Secure configuration: Remove or | | Head of ICT | Patch Management regime | Certified | June 2019 |

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| disable unnecessary functionality from systems, and to quickly fix known vulnerabilities. | | in place to treat known vulnerabilities | PSN compliance – April 2019 | Certification complete January 2019. Reaccreditation required January 2020 |
| 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 | Certified PSN compliance – April 2019 | |
| 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. | Head of ICT | User policies in place to ensure system privileges meet role requirements | Certified PSN compliance – April 2019 | |
| 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 | 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 | Certified PSN compliance – April 2019 Bid for funds against LGA cyber security budget – November 2019 | June 2019 Certification complete January 2019. Reaccreditation required January 2020 January 2019 – awaiting outcome of bid February 2019 – joint bid with Kent Connects partners to address gaps in cyber security audit |
| SR 37.05 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 | Head of ICT | ICT security policies in place and regularly reviewed. Any recognised cyber security incident is reported to appropriate board | Certified PSN compliance – April 2019 | June 2019 Certification complete January 2019. Reaccreditation required January 2020 |

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| confidence and potentially reduce any impact. | | | | |
| SR 37.06 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 policies as part of an overall 'defence in depth' approach. | Head of ICT | Policies in place to monitor and capture known malicious code. | Certified PSN compliance – April 2019 | |
| SR 37.07 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 | Head of ICT | Security Incident and event management (SIEM) systems in place. | Certified PSN compliance – April 2019 Bid for funds against LGA cyber security budget – November 2019 | June 2019 Certification complete January 2019. Reaccreditation required January 2020 January 2019 – awaiting outcome of bid February 2019 – joint bid with Kent Connects partners to address gaps in cyber security audit including SIEM |
| SR 37.08 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. | Head of ICT | Removable media policies in place with security controls on user devices | Certified PSN compliance – April 2019 | June 2019 Certification complete January 2019. Reaccreditation required January 2020 |

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| <p>SR 37.09 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 | Certified PSN compliance – April 2019 | |
| <p>Opportunities and the way forward</p> | | | | |
| <p>Further accreditation to the Cyber Essential Plus standard would provide further assurances that industry standards of Cyber Security prevention are in place. Medway Council will be working with Kent Connect partners to achieve this level of accreditation in 2019.</p> | | | | |
| <p>The ICT department is undergoing a restructure that will be complete by Mid-July 2019. Part of this reorganisation is the creation of a new range 7 post called “ICT Network & Cyber Security Manager”, which will assume responsibility for ICT security.</p> | | | | |

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| 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: June 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 |

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| <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>Monitored at monthly Waste Project Board meetings</p> | <p>June 2019</p> <p>The waste collection and street cleansing service will mobilise from Pier Approach Road on 1st October 2019 until the new depot location is ready (site identified and negotiations underway).</p> <p>A depot plan for Pier Approach Road has been produced which takes account of fleet/vehicle/staff parking, provision of a fuel bowser and a temporary workshop facility. This plan will be circulated to wider Medway Norse colleagues once Operating Licence paperwork is received (anticipated late June).</p> <p>Costs for the depot will be finalised once the Operating Licence approval is received (including relocation for other Medway Norse services and costs for new depot purchase)</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>Monitored at monthly Waste Project Board meetings</p> | <p>June 2019</p> <p>Medway ICT have reviewed and updated process maps ready for information sharing between council systems (Confirm) and Norse systems (Bartec) using the council’s Integration Hub. The integration build is progressing well using the “missed bins service request automation” and testing will commence mid June. The remaining integrations will be created using an agile methodology to be completed by the end of August 2019.</p> <p>Approximately 90% of collection rounds are merged with UPRN data so that every home in Medway has a unique record in Bartec including collection day, round and container. Completion of collection rounds will be an ongoing task between Bartec and the Council to quality check, agree update protocol etc. Street cleansing and bulk bins in flats are the next project area to be complete by late July 2019.</p> |

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| SR 38.03: Agree legal terms for transfer of waste service to Medway Norse | Head of Legal Services | Cabinet approval for service transfer Legal agreements drafted Review service specification Legal agreements drafted | Monitored at monthly Waste Project Board meetings | <p>June 2019</p> <p>Heads of Terms have been signed and the Letter of Intent has been compiled by Medway Legal services and is on track for sign off by both parties by late June. Waste services have reviewed the service and general specification documents in conjunction with Medway Norse and these are on track for sign off.</p> |
| 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 | Monitored at monthly Waste Project Board meetings | <p>June 2019</p> <p>Market testing confirmed Veolia are the only provider who could meet Medway's requirements prompting a review of procurement options with legal services and category management. Waste board agreed that a VEAT notice approach was the best mechanism. The VEAT notice was unchallenged and Veolia appointed as the provider.</p> <p>Negotiations to finalise terms with Veolia have highlighted that Medway's recycle specification and wider market conditions present a challenge to Veolia MRF processing securing an end market.</p> <p>A draft specification prepared by waste services with legal support is on track for agreement by late July with Veolia ready for service transfer to Norse on 1st October 2019.</p> |

Opportunities and the way forward

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.

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.