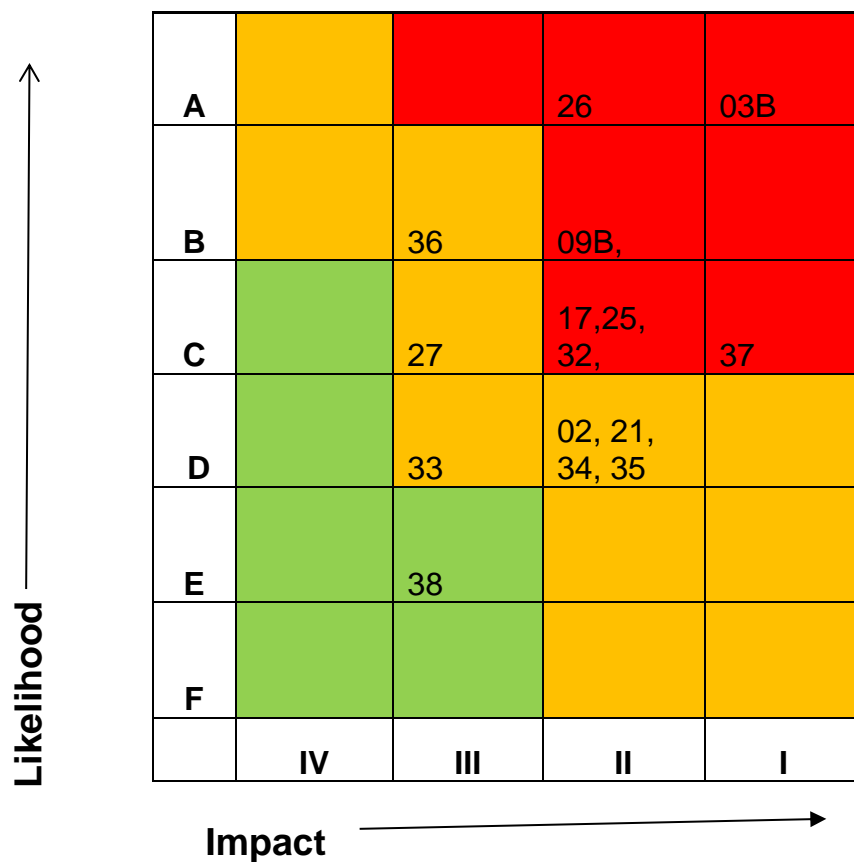


Medway Council Strategic Risk Register - Quarter 2 2019/20

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	A1	A1	CIII	↑	L – very high I - catastrophic	All/WOW	BS
SRO9B	7	Keeping vulnerable young people safe and on track	Director of People – C&A	BII	BII	BII	→	L - high I - critical	People	CYP
SR17	11	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	DII	DIII	↓	L – low 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	22	Children’s services	Director of People – C&A	AII	AII	BII	↑	L – very high I - critical	People	CYP
SR27	26	Government changes to Local Authority’s responsibility for schools	Director of People – C&A	BII	CIII	CIII	→	L - significant I - marginal	People	CYP
SR32	27	Data and information	Chief Legal Officer	BII	CII	DIII	→	L - significant I - critical	All/WOW	BS
SR33	30	Impact of welfare reform	Chief Finance Officer	CII	DIII	DIII	↓	L - low I - marginal	All/WOW	BS
SR34	33	Successful delivery of the corporate transformation programme	AD Transformation	BII	DII	DII	↓	L - low I - critical	All/WOW	BS
SR35	38	Homelessness	AD Physical and Cultural Regeneration	BII	DII	CII	↓	L - low I - critical	Growth	BS
SR36	41	Alternative service delivery models	AD Transformation, Chief Legal Officer, Director of RCET	BII	BIII	CIII	→	L - high I - Marginal	All/WOW	BS
SR37	44	Cyber Security	AD Transformation	CI	CI	DI	→	L - Significant I - Catastrophic	All/WOW	BS
SR38	48	Transfer of waste contract to Medway Norse	AD Front Line Services	AII	EIII	EIII	↓	L – very low I - marginal	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	
Medium risk/priority	
High risk/priority	

KEY update

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: September 2019	Current Residual Score: DII
<p><u>Threat / Inherent Risk</u></p> <p>Duties under the Civil Contingencies Act require councils to have an Emergency Plan. The Emergency Management and Response Structure may not be robust enough to respond to a major emergency.</p> <p>Every business activity is at risk of disruption from a variety of threats, which vary in magnitude from catastrophic through to trivial, and include pandemic flu, fire, flood, loss of utility supplies and accidental or malicious damage of assets or resources.</p> <p>The change of council assets / responsibilities going to either commissioned or third party contractors, Medway Norse or Medway Commercial Group also provides unique challenges to the established Roles and responsibilities during planning and response to Emergency Events.</p>		<p><u>Score</u></p> <p>CI</p>	<p><u>Trigger</u></p> <p>A significant adverse event occurs and the Council is found wanting or negligent in its planning and/or operational response.</p> <p><u>Consequence</u></p> <ul style="list-style-type: none"> • Response to event is not rapid, adequate nor effective. • Lack of clear communication lines. • Essential service priorities not clearly understood. • Communication between agencies and the public is poor. • There is a perception by residents that the Council does not have a visible presence at the Incident. • Residents expect more from their Council. • Local press quick to seize issue. • Comparisons made with other local authorities and resilience groups. • A death, or deaths, in the community. • Legal challenge under the 'Civil Contingencies Act 2004'.
<p><u>Current Residual Risk</u></p> <p>The Emergency Plan is subject to rigorous testing on a regular basis both internally and externally with the plan continually refined as a result to meet the ever-changing needs of the council and local area.</p> <p>An annual presentation on Business Continuity is included at a meeting of all council Service Managers.</p> <p>Assistant Directors are responsible for ensuring that the testing of business continuity plans has taken place. Testing to date has been completed during live incidents.</p> <p>The Corporate Business Continuity Plan is currently being refreshed and is aligned to the Emergency Plan.</p>		<p><u>Score</u></p> <p>DII</p>	<p><u>Target Residual Risk</u></p> <p>The Council will never be able to reduce the risk further as it is impossible to completely mitigate unforeseen adverse events. The Council needs to consistently complete hard and soft testing of its business continuity plans to ensure it achieves and maintains the DII risk scoring.</p> <p><u>Score</u></p> <p>DII</p>

Mitigation				
Ref: Action	Lead Officer	Desired Outcome / Expected Output	Milestones	Progress update
SR 02.01: Continued review and develop the Council's Major Emergency Plan (MEP) including any Lessons Identified	Director of Regeneration, Culture, Environment & Transformation	<p>Revised plan agreed by Corporate Management Team.</p> <p>Continued engagement with Kent Resilience Forum.</p> <p>Staff trained in emergency response management at all levels.</p> <p>A sustainable and robust on call rota in place at all levels.</p> <p>Existing plan in place.</p> <p>Programme of on-going review of COMAH plans.</p> <p>Emergency response operations room in place.</p> <p>On call rota in place covering all roles & responsibilities 24/7.</p>	<p>Draft plan in 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>SEPTEMBER 2019</p> <p>Reviewed on 16 Sept 2019 no update required.</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>SEPTEMBER 2019</p> <p>Reviewed on 16 Sept 2019 no update required.</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</p>

				induction for all new staff.
Opportunities and the way forward				
No comments				
Corporate Risk: SR03B Finances			Risk Owner: Chief Finance Officer	
			Portfolio: Leader's	
Inherent Score: AI		Target Residual Score: CIII		Last Review: October 2019
		Current Residual Score: AI		
<u>Threat / Inherent Risk</u>		<u>Score</u>	<u>Trigger</u>	
<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>		AI	<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. 	
<u>Current Residual Risk</u>		<u>Score</u>	<u>Target Residual Risk</u>	
<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.</p> <p>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>The Chancellor's recent Spending Round announcements in September 2019 offered some certainty for 2020/21 with essentially a rollover</p>		AI	<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</p>	
			<u>Score</u>	
			CIII	

budget, together with additional resources for social care and greater flexibility over council tax. However, this still make for a very uncertain outlook beyond next year and the SEND issue in particular means that the residual risk remains at A1.		pressures, inflation, interest rates and the economic climate.		
Mitigation				
Ref: Action	Lead Officer	Desired Outcome / Expected Output	Milestones	Progress update
SR03B.01: Need to ensure effective response to the spending review, but also lobbying for greater local powers to raise revenues	Chief Finance Officer	Co-ordinate responses with members, brief MPs, agree media campaign, solicit support from peer authorities/partnerships Unmodified VFM opinion in respect of the adequacy of financial planning and effective budgetary control Increased devolution of tax raising powers to the Council	On-going	October 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 and whilst the Spending Round was helpful, it still offers little certainty for 2021/22 and beyond. Even with the additional funding the budget gap for 2020/21 stands at around £6 million.
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	October 2019 Cabinet was 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. It identified a 'gap' between the budget requirement and the resources available of £6 million next year. It did however outline the Council's broad strategy to address this, with a view to delivering a balanced budget for 2020/21.. The focus will be on addressing pressures within individual services, through transformation and efficiency, but there will also need to be some reprioritisation and reallocation of resources between service areas.
SR03B.03: Create resources for investment priorities	Corporate Management Team	Track funding opportunities Maximise capital receipts on asset disposal	On-going	October 2019 The Council's current capital programme is ambitious and represents around £295million of investment. The

		Prudential borrowing Revenue returns from investments and capital assets and appreciation in capital asset values		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
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	October 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

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

Corporate Risk: SR09B keeping vulnerable young people safe and on track		Risk Owner: Director of People – Children And Adults Services	
		Portfolios: Children's Services (Lead Member) and Education and Schools	
Inherent Score: BII	Target Residual Score: BII	Last Review: September 2019	Current Residual Score: BII
Threat / Inherent Risk Changes in the demographics and in the legislative requirements affect Special Educational Needs and Disability (SEND) and Youth Offending Teams	Score BII	Trigger <ul style="list-style-type: none"> The Council is unable to address these issues with cost effective, innovative solutions Consequence <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 	
Current Residual Risk The Special Educational Needs and Disability inspection highlighted the need for better data analysis and performance monitoring	Score BII	Target Residual Risk A solid analysis of available performance data enables us to promptly identify areas of concern and develop action plans to	Score BII

				address them	
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	<p>Improved outcomes for children and young people as per SEND strategy</p> <p>Ensuring service delivered within budgetary constraints.</p> <p>Good management information to inform commissioning and robust challenge.</p> <p>Provision made within budget</p> <p>SEND Strategy developed and implemented.</p> <p>Joint SEND Improvement Action Plan developed with CCG.</p> <p>Need strategy for pupils excluded and those at risk of exclusion.</p> <p>Early Help/Intervention services needs to be designed/implemented.</p>	<p>Less out of area SEND placements</p> <p>More children being educated in mainstream schools with outreach</p> <p>Increased local specialist provision</p> <p>Fewer exclusions fixed term and permanent</p>	<p>September 2019</p> <p>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.</p> <p>A deficit recovery plan for the DSG has been submitted to the DFE and engagement with officials is awaited.</p> <p>Joint SEND Strategy has been developed in draft and is currently going through CCG and Local Authority governance and this process is expected to be completed by November.</p>	
SR 09b.05: The recent SEND Inspection highlighted strengths and areas of improvements. The Council and Clinical Commissioning Group were required to submit a Written Statement of Action in April 2018. This was accepted by Ofsted and NHS England.	Director of People - C&A Director of CCG	<p>Successfully implement the 2014 SEND reforms; this is demonstrated by Ofsted, NHS England and the Minister for Education agreeing in February 2019 that Medway has achieved all improvements in the written statement of action which addresses the eight significant areas of improvement in the SEND inspection outcome letter.</p> <p>Good management information to inform decision making of the SEND improvement board.</p> <p>Data and Performance information supports with the strategy and improvement plan.</p>	<p>There are four NHS England and Ofsted and scrutiny meetings between July 2018 – February 2019</p> <p>Milestones would be for the outcome of the meetings be favourable</p>	<p>September 2019</p> <p>We are now 19 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>The last DfE / NHS England SEND Monitoring Meeting took place in July 2019 and it is not anticipated that there will be further monitoring meetings prior to the revisit.</p>	

		Improvement against the statement of action.		
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.	Director of People - C&A & Public Health Director of CCG Chief Superintendent Kent and Medway Police	Improve the response to and outcomes for children living with domestic abuse.	Multi agency audits completed Launch strategy Use of intelligence informs commissioning	September 2019 Update report against the JTAI was taken to MSCB exec in June. Many actions now complete or overshadowed by the Ofsted inspection. Meeting to review and potentially close down the action plan booked in for October.
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.	Director of People - C&A	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. Suitable placements are developed for vulnerable children which keep them safe and enable magistrates to impose an order as an alternative to secure remand. Performance is monitored monthly (proxy figures) and quarterly (YJB information). YOT Board meets quarterly to oversee provision, steer development and monitor progress.	Grant provided by MoJ for developing alternatives to custodial remand is used effectively for innovative support and budget not exceeded by custody bill.	September 2019 Applied national standards in full and kept some old standards to ensure we maintain a high expectation on practice. Data and performance improving and using the national YJAF system to better use. Audits continue to reflect good work and we are consistent. Feedback in focused visit spoke positively on the work of YOT. 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. Also strengthening the training for staff around trauma informed practice. Also some work around disproportionality taking place so Medway YOT ready for changing cultural needs for the young people we support. Visit to Essex has helped Medway YOT look at and focus on vulnerable young people (CSE, Missing and

				Gangs). Focus of new plan is on safeguarding, risk and desistance.
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. All professionals, voluntary groups and the wider community including hard to reach groups are aware of, and have an understanding of CSE and missing. Implement findings of review of CSE unit.	Director of People - Children & Adults	<p>Ensure that we have a comprehensive strategy in place for CSE and missing. All professionals working directly with CYP have an understanding and knowledge of CSE and missing; and develop appropriate skills. Increase the awareness and understanding of CSE and missing by all professionals, voluntary groups, wider community including hard to reach groups. Improvement of identification, prevention, support disruption and prosecutions. Development of a reliable multi-agency data set. 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 approved consistent training is completed by all staff. All child protection courses make direct reference to CSE and missing Awareness raising campaign agreed and implemented.</p>	<p>The Kent and Medway CSE strategy has been reviewed and recommendations operationalised. Any review will be signed by the MSCB in the forward plan All relevant staff complete available CSE training. Case management systems capable of recording CSE cases. 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>September 2019 In response to the Ofsted recommendations, the missing and exploitation panel TOR and membership are being reviewed. Vulnerable young people discussed are reviewed 6-weekly to ensure that there is management oversight in respect of how the risk is managed and the impact of the safety plan.</p> <p>The aspiration is for YP where the risk has not reduced or has risen when reviewed, consideration will then be given to escalate to a contextual safeguarding conference.</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>September 2019</p> <p>RHI post appointed to on 27th September 2019.</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>				

<p>Corporate Risk: SR17 Delivering regeneration</p>		<p>Risk Owner: Director of RCET and Deputy Chief Executive</p>	
		<p>Portfolio: Inward Investment, Strategic Regeneration and Partnerships</p>	
<p>Inherent Score: BII</p>	<p>Target Residual Score: DII</p>	<p>Last Review: September 2019</p>	<p>Current Residual Score: CII</p>
<p>Threat / Inherent Risk</p> <p>Medway's regeneration plans seek to meet the needs of anticipated population growth of 50,000 people in Medway, with up to 20,000 jobs and 29,000 new homes in the next 20 plus years.</p> <p>There are challenges for the provision and maintenance of effective infrastructure. Particular areas of concern are flood protection, highways, health and water capacity.</p> <p>It is vital the benefits are felt by the population of Medway, so that the</p>		<p>Score</p> <p>BII</p>	<p>Trigger</p> <ul style="list-style-type: none"> The Council fails to deliver its economic, social and infrastructure regeneration programme. House/property building companies start to delay developments. Potential lack of companies wanting to locate in Medway. <p>Consequence</p> <ul style="list-style-type: none"> Regeneration projects not completed.

<p>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>		<ul style="list-style-type: none"> • Potential damage to Council's reputation. • Not able to meet member, government and the public's expectations. • Deteriorating physical and infrastructure assets. • Investment wasted. • Young people are not catered for in the 'new world'. • Low skills base among some residents remains. • Disconnect between skills and employment opportunities. • Maintenance of low aspiration culture. • Increased commuting and pressure on transportation. • Negative impact on community cohesion. 		
<p>Current Residual Risk</p> <p>The Regeneration programme and in particular Innovation Park Medway and the flag ship water front developments are managed at Member, officer and partner level through individual boards and the projects are managed at a more operational level through officer groups and RCET DMT.</p> <p>Those schemes funded through the LEP also have to adhere to a rigorous reporting process to ensure that they are on time and within budget.</p>	<p>Score</p> <p>CII</p>	<p>Target Residual Risk</p> <p>Failure by the Council to deliver its ambitious regeneration plans would have a critical impact in Medway, by not delivering the housing, jobs and infrastructure required for its growing population. There is little that can be done to lessen this <i>impact</i> and so the focus must be on reducing the <i>likelihood</i> of failure to a more tolerable level.</p>	<p>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 17.01: Outline infrastructure needs identified.</p>	<p>Director of RCET</p>	<p>Identification of inward investment priorities.</p> <p>Progressing key regeneration sites and infrastructure plan jointly with KCC.</p> <p>Production of Infrastructure Delivery Plan (IDP) to support Local Plan.</p>	<p>Secure funding</p> <p>20 year development programme</p> <p>Preparation of IDP to support submission of Local Plan – December 2019</p>	<p>SEPTEMBER 2019</p> <p>The Housing Infrastructure Fund (HIF) business case was submitted to central government to schedule in March 2019 This opportunity, 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. The Council continues to progress essential design works for elements of the HIF bid whilst waiting for a decision from MHCLG. There have been no formal announcements from Central Government as to when the next tranche of funding will be granted and bid results are being released on an adhoc basis with no notice. The Council hopes to get a decision before the end of the calendar year and continues to lobby for a decision as soon as possible.</p>

				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 nearing completion 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	<p>SEPTEMBER 2019</p> <p>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 2019. 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. The Council continues to progress essential design works for elements of the HIF bid whilst waiting for a decision from MHCLG. There have been no formal announcements from Central Government as to when the next tranche of funding will be granted and bid results are being released on an adhoc basis with no notice. The Council hopes to get a decision before the end of the calendar year and continues to lobby for a decision as soon as possible.</p> <p>There is a dedicated External Investment Officer in the Regeneration Delivery Team, and a virtual External Investment Working Group with cross-service membership, which identifies funding opportunities and prioritises bids based on Member and strategic priorities. This is reflected in a pipeline list of projects.</p>
SR 17.03: 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.	<p>SEPTEMBER 2019</p> <p>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 2019. 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. The Council continues to progress essential design works for elements of the HIF bid whilst waiting for a decision from MHCLG. There have been no formal announcements</p>

				<p>from Central Government as to when the next tranche of funding will be granted and bid results are being released on an adhoc basis with no notice. The Council hopes to get a decision before the end of the calendar year and continues to lobby for a decision as soon as possible.</p> <p>There has been a continued dialogue between HE, Moat, Orbit and Medway Council in regard to addressing the funding gap in redeveloping Kingswear Gardens. Moat, Orbit and the Council have agreed to fund further viability work to establish when the funding gap will become an issue. The commissioning and completion of this work will be done by Q3. Once complete, HE will consider whether they can fund the shortfall to make the development</p>
SR 17.04: Working with the Local Enterprise Partnership to attract funds to Medway.	Director of RCET	<p>External financial arrangements to fund transformational programmes and deliver plans that are implemented on time and to budget. Create and protect long-term jobs in the private sector, and programmes which will deliver sustainable jobs.</p> <p><u>Growing Places Fund (GPF):</u> £4.4m Rochester Riverside; £2.99m Chatham Waterfront. £650K Innovation Park Medway £41.7m Local Growth Funding from the Local Enterprise Partnership.</p>	As detailed in individual delivery plans.	<p>SEPTEMBER 2019</p> <p>Medway has made successful bid submissions to SELEP for nine LGF projects, totalling over £40m across four bidding rounds. This includes the April 2019 award of £1.5m of LGF3b funding to the Innovation Park Medway (IPM).</p> <p>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 Innovation Park Medway.</p> <p>Medway Council is a member of the SELEP's Local Industrial Strategy Core Working Group, seeking to define growth priorities for the region, for approval by central government. The Local Industrial Strategy will inform future funding from central government.</p>
SR17.05: Working towards the adoption of the new Medway Local Plan.	Director of RCET	<p>New Local Plan and Planning Policy Guidance adopted to guide Medway's sustainable growth.</p> <p>To prepare the Medway Local Plan and as outlined in the Local Development Scheme published August 2019</p>	<p>Publication of Draft Local Plan 2020</p> <p>Independent Examination of plan - 2020</p>	<p>SEPTEMBER 2019</p> <p>Reviewed on 16 Sept 2019 no update required.</p> <p>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.</p> <p>Joint work on infrastructure planning with HIF project team.</p>

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.	<p>SEPTEMBER 2019</p> <p>We have received notification from Historic England that the Heritage Action Zone submission for Chatham Intra / Heritage Quarter was successful. The maximum award will be £1.6m.</p> <p>Command of The Heights: We have also been successful in a Heritage Fund grant increase application of £215k. This sum will bring the newly found archaeology at Riverside 1 into the public realm.</p> <p>The Future High Streets Fund for Chatham continues to be progressed with a Development Grant of up to £100k. A full Business Case for up to £14m will be submitted in April 2020.</p> <p>HIF: We continue to track government decisions on previous rounds of HIF applications, whilst awaiting notification of the £170m New Routes to Good Growth bid</p>
SR17.07: Submission of a successful Business Case for Housing Infrastructure Fund (HIF) funding for the peninsula.	Assistant Director Physical and Cultural Regeneration	Delivering major infrastructure improvements to unlock the potential of the Hoo peninsula. £170m secured via a successful Business Case submission.	Business case submitted either December 2018 or March 2019 Decision 4 months post submission.	<p>SEPTEMBER 2019</p> <p>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. 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. The Council continues to progress essential design works for elements of the HIF bid whilst waiting for a decision from MHCLG. There have been no formal announcements from Central Government as to when the next tranche of funding will be granted and bid results are being released on an adhoc basis with no notice. The Council hopes to get a decision before the end of the calendar year and continues to lobby for a decision as soon as possible.</p>
Opportunities and the way forward				
The current regeneration programme is large and is being supplemented by the programme of works planned by Medway Development Company and the partnership with Norse Commercial Services. This means that the Council's capacity is already stretched, however the Council has demonstrated its appetite for a 'mixed economy' of approaches to deliver regeneration and new opportunities are being explored with other partners, including private sector organisations.				

Corporate Risk: SR21 Procurement savings – capacity and delivery		Risk Owner: Chief Legal Officer		
		Portfolio: Resources		
Inherent Score: All	Target Residual Score: DIII	Last Review: October 2019	Current Residual Score: DII	
<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> DII	<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	October 2019 Quarterly financial monitoring including monitoring of the delivery of proposed budget savings in the Directorates and BSD has taken place through Corporate Management Team and Cabinet, with focus on this in one to one meetings, in addition to this

				formal process. Directorate Management Teams review the performance of savings delivery in year and suggest corrective action.
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	October 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	October 2019 Quarterly financial monitoring including monitoring of the delivery of proposed budget savings has taken place through Corporate Management Team and Cabinet, with focus on this in one to one meetings, in addition to this formal process. Partnership Commissioning have been providing regular updates to relevant portfolio holders on current procurements including 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	October 2019 Procurement Board has seen good examples of joint working between Category Management and Commissioning colleagues.
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	October 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.				

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: September 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 of the Kent and Medway Integrated Care System (ICS), and the Medway and Swale Integrated Care Partnership (ICP) may have an impact on our ability to ensure better out of hospital care and improved integration.</p> <p>There continues to be pressure on the social care market 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.</p> <p>Providers are facing a number of financial pressures which have the potential to impact on the cost of care packages, including, the impact of 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>We have seen growth in statutory activity in recent years, including</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.</p> <p>The implementation of the ICS 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>

safeguarding and Approved Mental health Practitioner Assessments. This is expected to put further pressure on stretched staff resources.				
<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>
Mitigation				
Ref: Action	Lead Officer	Desired Outcome / Expected Output	Milestones	Progress update
<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</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>September 2019</p> <p>The 3 conversations approach, which aims to prevent, delay and reduce needs has been rolled out across the service.</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 uptake of direct payments but offer carers and service users more choice</p> <p>The reprourement of MICES, Home Care and Extra</p>

		<p>projects.</p> <p>Monthly scrutiny of budgets at Adults Management Team and audits of practice and Personal Budgets/Direct Payments.</p> <p>Management action as required.</p>	<p>Increase the number and effectiveness of reviews.</p> <p>Reduction in delayed transfers of care</p>	<p>Care services are underway.</p> <p>The Nursing and Residential services (older people and Working aged adults) commissioning is being scoped and a PID developed.</p> <p>Once these services are awarded Adult Partnership Commissioning will develop an Implementation Plan to deliver our strategic commissioning priorities.</p>
<p>SR 25.02: Deprivation of Liberty Safeguards (DoLS) post Cheshire West judgement, resulted in a rapid increase in the number of applications for DoLS, challenging several parts of the system – administration, Best Interest Assessors, Advocacy services.</p> <p>Risk of legal challenge and breaching statutory timeframes.</p>	<p>Director of People Children & Adults Services</p>	<p>People in receipt of Health and Social Care Support are not deprived of their liberty illegally.</p> <p>DoLS applications to Medway as a Supervisory Body are processed and assessments carried out within timeframes.</p> <p>DoLS process is digitalised to create efficiencies</p> <p>Increase in training for BIA's.</p> <p>Expend the number of senior officers to act as authorisers</p>	<p>Reduction in the number of DoLS cases awaiting authorisations</p>	<p>September 2019</p> <p>The Council continues to triage all DOLS referrals and to carefully prioritise using the ADASS screening tool.</p> <p>Any person who is actively objecting to a proposed deprivation of liberty (e.g. attempting to leave a care home when they lack the necessary mental capacity to make this decision and may be at risk) is assessed swiftly.</p> <p>The number of cases waiting assessment has been further reduced to 165, from a peak of some 450 with 105 currently waiting to be authorized (down from 131 in October 2017).</p> <p>Prior to the Cheshire West Judgement there were approximately 13,000 (2014-15) DOLS applications per year in the UK. This increased to 230,000 in 17/18 (Source NHS Digital). As a consequence, Local Authorities across the UK are struggling with DOLS assessment backlogs, which the rollout of the forthcoming Liberty Protection Safeguards legislation, in October 2020 seeks to address.</p>
<p>SR 25.04: To work with Health colleagues to develop a vision for integration at a Medway level. To identify what the Integrated Care Partnership will look like.</p> <p>Agree how the IBCF funding will</p>	<p>AD Adult Social Care</p>	<p>To describe Medway's potential for integration by nationally set timeframes</p> <p>Working closely with Health partners and voluntary sector to agree what the local care offer will</p>	<p>To be able to define what the local Care offer will be from April 2017.</p>	<p>September 2019</p> <p>Adult Services are working closely with all system partners as the Integrated Care System and Integrated Care Partnership develop.</p>

<p>be used to meet the strategic objectives as set out by the DOH and DCLG</p>		<p>be. Involvement in STP Boards to ensure the LA gets a Voice.</p>	<p>Involvement in public Consultation Summer 2017</p>	<p>Key senior offers are involved at every level an aspect of this system change to ensure Medway has a strong voice.</p> <p>All the Kent and Medway clinical commissioning groups (CCGs) have now agreed they want to form a single CCG to improve care for local people. The merger application is going to be submitted to NHS England and NHS Improvement on Monday 30 September. This follows votes in favour by the GP members of each CCG, and approval of the merger application paperwork by the eight governing bodies. A decision from NHSE/I is expected in November. If approved, the single CCG will go live on 1 April 2020.</p>
<p>SR 25.05: That the intermediate care, MICES, rapid response and discharge arrangements to put additional pressure on the ASC budgets</p>	<p>Director of Public Health & Assistant Director Adult Social Care</p>	<p>Additional pressure not put on ASC budgets Delivery of effective Integrated Commissioning activity.</p>	<p>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></p>	<p>September 2019 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

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.

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: September 2019	Current Residual Score: All
<p><u>Threat / Inherent Risk</u></p> <p>A high level of historical demand for services for children in need, including the need for protection and looked after children puts pressure on the Council's resources.</p> <p>The recent Ofsted Inspection of Local Authority Children's Services (ILACS) July 2019 graded the service Inadequate overall, and places additional pressure on the service through quarterly monitoring visits by Ofsted and the appointment by the Secretary of State of a Commissioner, whose role is to report back on the Councils' capacity and capability to make required improvements.</p> <p>The Ofsted grading will create challenges in recruiting to key posts and the expectations of external regulators will require resources and corporate support to ensure improvements are made at pace.</p> <p>An Improvement Board with an external chair is being set up which will provide additional support and challenge.</p> <p>N.B. Risks around supporting children with Special Educational Needs and Disabilities are covered in SRO9B: Keeping vulnerable young people safe and on track.</p>	<p><u>Score</u></p> <p>All</p>	<p><u>Trigger</u></p> <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. <p><u>Consequence</u></p> <ul style="list-style-type: none"> Budget pressures with consequences across the Council. Limits ability to divert resources to early help which ultimately must be part of the solution to increasing numbers of looked after children and preventing children and young people from becoming subject to child protection plans. Poorer outcomes for children young people. Impact on statutory responsibilities and regulatory judgement. Excessively high caseloads. 	
<p><u>Current Residual Risk</u></p> <p>In light of the recent Ofsted inspection judgement the current residual risk score has increased to the inherent risk score. An</p>	<p><u>Score</u></p> <p>Aii</p>	<p><u>Target Residual Risk</u></p> <p>Improved data and reporting will enable us to enhance quality and timeliness in practice and care proceedings. Recruiting and</p>	<p><u>Score</u></p> <p>BII</p>

improvement plan is in development and will include actions that seek to reduce the level of current risk.			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 and workforce development strategy for children's social workers implemented.	Director of People - C&A Human Resources Service Team	Well trained and supported workforce. Permanent staff numbers.	As per strategy and plan.	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 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.	September 2019 The Together We Can strategy is no longer current. There has been a more recent Ofsted inspection and a new action plan is under development in response – see Action SR20.08.
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.	September 2019 The Quality Assurance Framework has been reviewed and updated following the Ofsted inspection, and will be launched in January 2020. A new Learning and Reflection audit tool has been devised for the next audit schedule in November, and the ongoing audit schedule revised to reflect the priority areas in the improvement action plan. LB Ealing have been appointed as Partners in Practice and will be providing peer challenge and support for moderation.

				The new QA Framework will provide opportunity for learning from audit activity, and there are plans to re-launch the practice model. The L and D programme will reflect core skills and learning from audit activity.
SR 26.05: Strengthen Partnership working through the Medway Safeguarding Children Partnership.	Director of People - Children and Adults Services	Strengthened partnership arrangements for supporting vulnerable children. Stronger focus on the Partnership's priorities and objectives which includes robust scrutiny and challenge amongst the partnership	Develop clear governance and strategic arrangements. Defining clear objectives for the sub-groups and working groups, looking at service delivery for children and families across the partnership.	September 2019 The Medway Safeguarding Children Partnership has been launched and has held its first wider partnership meeting to agree priorities. These will be aligned with priorities in the Improvement Action Plan.
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.	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	Each window to achieve a percentage for payment by results Ensure the momentum if the	September 2019 Continue to work on payment by results programme and continue to meet the targets set for 2019/20. We have received news that the programme will continue for an additional year. We are awaiting funding and programme detail. This will follow later in November.

		<p>results</p> <p>Use the Transformation Grant to effectively transform service delivery</p> <p>Improved outcomes for Children and Families</p>	<p>programme achieves the upfront fee and transformation grant</p>	
<p>NB New ACTION</p> <p>SR26.08</p> <p>Develop and implement a new improvement action plan in response to Ofsted recommendations</p>	<p>Director of People – C&A</p>	<p>Improvement in quality of practice, leadership and management, quality assurance, partnership working and engagement of staff, children and families, and staff recruitment and retention to address the 10 recommendations outlined in the Ofsted report.</p>	<p>Commissioner's report to Secretary of State in December, followed by quarterly monitoring visits by Ofsted from February 2019 which will monitor progress against plan objectives and actions</p>	<p>September 2019</p> <p>The improvement action plan has been drafted and will be shared with Ofsted inspectors at a planning meeting on 21st October. The Improvement Board, with an external chair, will meet monthly from 24th October 2019. Any additional resource required to support the practice improvements will be identified as part of the planning process.</p> <p>An interim AD has been appointed to start on October 16th, and recruitment is underway for permanent Head of Service roles.</p>
<p>Opportunities and the way forward</p>				
<p>Improved data and reporting will enable better management control.</p> <p>Implementation of projects managing demand,</p> <p>Strengthened role for MSCB.</p>				

<p>Corporate Risk: SR27 Government changes to Local Authority's responsibility for schools</p>		<p>Risk Owner: Director of Children and Adults</p>	
		<p>Portfolios: Children's Services (Lead Member) and Education and Schools</p>	
<p>Inherent Score: BII</p>	<p>Target Residual Score: CIII</p>	<p>Last Review: September 2019</p>	<p>Current Residual Score: CIII</p>
<p>Threat / Inherent Risk</p> <p>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</p>		<p>Score</p> <p>CII</p>	<p>Trigger</p> <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. <p>Consequence</p>

Regional Schools Commissioner.		<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. 		
<p>Current Residual Risk</p> <p>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.</p> <p>A funded programme to support targeted primary schools in respect of inclusion.</p> <p>Close liaison between internal Council departments.</p>	<p>Score</p> <p>CII</p>	<p>Target Residual Risk</p> <p>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.</p>	<p>Score</p> <p>CIII</p>	
MITIGATION				
Ref: Action	Lead Officer	Desired Outcome: Expected Output	Milestones	Progress update
<p>SR 27.01: Analysis of school data is used to agree a school partnership rating so that appropriate support can be put in place.</p> <p>Analysis of academy data is used to refer an academy to the regional Schools Commissioner</p>	<p>Head of Education</p>	<p>Schools results in line with or exceed nationally expected progress measures.</p> <p>School Challenge and Improvement Team support schools to identify actions needed to improve pupil progress.</p> <p>Data shows progress to be in line with similar schools nationally and then to be in upper quartile.</p> <p>Implementation of School Improvement Strategy.</p>	<p>Number of schools below floor threshold reduces</p> <p>Number of schools in an OFSTED category reduces and remains low.</p> <p>Number of coasting</p>	<p>September 2019</p> <p>Reviewed Sept 2019 no update required.</p> <p>Unvalidated data shows that school performance at the end of KS1, KS2 and phonics, have all continued to 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.</p> <p>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-</p>

			schools is low	England of 83.2% are attending a good school.
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.	Head of Education	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.	OFSTED judgements place more schools in the Good or Outstanding categories.	
Opportunities and the way forward				
New school Improvement Strategy				

Corporate Risk: SR32 Data and Information		Risk Owner: Chief Legal Officer	
		Portfolio: Resources	
Inherent Score: BII	Target Residual Score: DIII	Last Review: October 2019	Current Residual Score: CII
Threat / Inherent Risk 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. 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). Local Authorities are required to achieve Level 2 on the Information Governance toolkit; however opportunities to improve the Council's		Score BII	Trigger <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 Consequence <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.

<p>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>		<ul style="list-style-type: none"> Failing to find new innovations Failing to deliver good quality care for residents of Medway 		
<p>Current Residual Risk</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>Score</p> <p>CII</p>	<p>Target Residual Risk</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>Score</p> <p>DIII</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>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)</p>	<p>Chief Legal Officer</p>	<p>To ensure that appropriate organisational safeguards are in place for sharing information.</p> <p>Information governance policies and procedures are available on the intranet.</p> <p>Privacy Impact Assessments (PIAs) ISAs and Standards Operating Procedures (SOPs) also exists detailing roles and responsibilities.</p>	<p>On-going.</p>	<p>October 2019</p> <p>The Council’s policies and procedures have been reviewed with the advent of the General Data Protection Regulations (GDPR). There is a specific project focused on this work to continue to embed this important new approach to data protection, An action plan has been developed following an Internal Audit of this work.</p>
<p>SR32.02: Information Sharing Agreement (ISA) for Kent</p>	<p>Chief Legal Officer</p>	<p>Provides the basis for ISAs within Kent organisations and outside PIAs, ISAs and SOPs and where appropriate Data Licence Agreements.</p>	<p>On-going</p>	<p>October 2019</p> <p>Reviewed in October 2019 no update required. The Information Governance Manager is</p>

				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	October 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. It is focusing on the action plan mentioned above.
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.	October 2019 Reviewed in October 2019 no update required. 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	October 2019 Reviewed in October 2019 no update required. 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.				

Corporate Risk: SR33 Impact of Welfare Reform		Risk Owner: Chief Finance Officer		
		Portfolio: Leader's		
Inherent Score: CII	Target Residual Score: DIII	Last Review: October 2019	Current Residual Score: DIII	
Threat / Inherent Risk 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		Score CII	Triggers 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: <ul style="list-style-type: none">• Changes to tax allowances and thresholds;• Reform of benefits (eg. Universal Credit, the cap);	

<p>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>		<ul style="list-style-type: none"> • Changes in eligibility for social housing; • Introduction of the living wage; • An influx of both identified and unidentified customers. <p>Consequence</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>Current Residual Risk</p> <p>The work overseen by the officer steering group, which primarily focussed on preparedness for the roll-out of Universal Credit has largely been embedded in day to day operations.</p> <p>The Council 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>Score DIII</p>	<p>Target Residual Risk</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>Score DIII</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 33.01: Provide direct financial support for the most vulnerable members of the community.</p>	<p>Chief Finance Officer</p>	<p>Customers are able to sustain tenancies and mortgages. Families remain resilient and less likely to need Council services. 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. Reduced KPI: rent arrears as % of rent debit.</p>	<p>SEPTEMBER 2019 Reviewed Sept 2019 no update required. NI 156: households in temporary accommodation is within target with an improving long and short term trend. HC3: households in B&B with dependent children is within target. Tenant arrears is on target with an improving long and short term trend.</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	Working across directorates and with partners to provide a joined up approach to meeting the challenges the welfare reform poses for our customers. Establishment of a Welfare Reform Officer Group to produce and deliver an action plan in response to the findings of the Welfare Reform Members Task Group.	Monitor the action plan and provide six monthly update reports to BSD O&S Committee.	<p>October 2019</p> <p>Officers 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 been embedded in 'business as usual':</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	Customers have access to free and independent advice, to assist them in personal budgeting and managing debt. Specification for service provision. Consider options and commission services. Publicity and sign-posting to service	Number of referrals made to new service	<p>October 2019</p> <p>A variety of approaches used, including in-house and voluntary sector providers, however as reported last time 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	Deliver the Council's commitments in terms of the Delivery Partnership Agreement. Undertake joint working arrangements with DWP. Undertake joint publicity and signpost UC claimants to the DWP. Support claimants with the online application. Formalise debt advice services.	Number of joint events held with partners to promote Universal Credit Numbers using the assisted digital offer Numbers referred to debt advice services.	<p>October 2019</p> <p>Successful roll out of Universal Credit for families from May 2018. Delivery of debt advice and assisted digital services continues.</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. Three trained members of the council's Benefit staff provide Personal Budgetary Support (PBS) to customers. This is by appointment and held at Job Centre Plus office.</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	Head of Housing	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.	Monitoring of Business Plan annually Quarterly budget monitoring.	<p>October 2019</p> <p>The HRA Business Plan has been amended to take advantage 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</p>

figure which is being legislated in the proposed Housing Bill.		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) Consult on the plan with HRA tenants and present to BSD O&S.	O&S report on revised HRA business plan – October 2016	under control. The Government had announced that the full migration to Universal Credit will not be required until 2023, rather than the original date of 2020. 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.
SR 33.06: Delivery of the Employment Programme	Manager of 'Employ Medway'	Support long term unemployed people into sustained employment. Generate reward grant to fund activity.	Targets set under the programme	September 2019 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. From January 2018, the Work Programme was superseded by the Work and Health programme – designed to support people with health conditions into employment. To date, 47 people have been supported into work through the programme. The contract has been challenging to deliver which is being mirrored at a national level. Officers are investigating options of the best way to deliver the contract.
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	September 2019 The Local Welfare Provision has been recommissioned. A new service started January 2019 as part of the Medway VCS 'Better Together' Consortium. The service is delivered by Citizen's Advice Medway as part of the Welfare, debt and advice service Lot.

				The annual allocation for Welfare payments is £40,000 and is drawn upon on a monthly basis based on activity. In the first two quarters 228 people have been supported through the service using a range of interventions and support. This includes debt advice and IAG and food vouchers. This has resulted in only 93 people requiring a payment.
Opportunities and the way forward				
Use of Mosaic and Power BI to better understand the impact of the welfare reforms on the people of Medway.				

Corporate Risk: SR34 successful delivery of the corporate transformation programme		Risk Owner: Assistant Director Transformation	
		Portfolio: Resources	
Inherent Score: BII	Target Residual Score: DII	Last Review: September 2019	Current Residual Score: DII
<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

				<ul style="list-style-type: none"> • 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>Current Residual Risk</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>The corporate transformation programme has been a 3 year programme, which had a capital budget of £6m and target revenue savings of £0.430m in 2016/17, £1.57m in 2017/18 and £5m in 2018/19. All target savings were achieved and the programme was formally closed on 31 March 2019. Ongoing improvements are being made as the transformation programme moves in to business as usual</p>	<p>Score</p> <p>DII</p>	<p>Target Residual Risk</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>Score</p> <p>DII</p>	
Mitigation				
Ref: Action	Lead Officer	Desired Outcome / Expected Output	Milestones	Progress update
SR34.01: Active leadership by service Assistant Director	Corporate Management Team	<p>Business problems and issues are addressed, and service costs are reduced.</p> <p>Transformation activity is viewed as part of mainstream work.</p> <p>Appropriate priority is given to transformation work by services with resources clearly identified</p>	Quarterly review by CMT	<p>September 2019</p> <p>Assistant Directors have been fully engaged in the transformation process. The Business Change Team have worked closely with ADs and Service Managers to identify potential savings and then work with services to achieve the savings.</p>
SR34.02: Leadership development delivered through the Leadership	Assistant Director Transformation	<p>Managers demonstrate required leadership behaviours</p> <p>Skilled and effective leaders.</p>	Academy launched May 2017	<p>September 2019</p> <p>Managers demonstrate required leadership behaviours.</p> <p>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</p>

Academy				<p>implements change within their service areas.</p> <p>Training will continue with other senior managers throughout 2019, focussing on the “digital competence” of managers and teams to ensure the benefits of Office 365 and new ways of working are fully realised by services.</p>
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	<p>September 2019</p> <p>The 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 is working with services to focus on Business Change, Process Change, and Organisational Change to change the way services operate and ultimately deliver savings to the Council.</p>
SR34.04: Use specialist recruitment agency to help us attract staff experienced in digital transformation, combined with developing internal talent through secondment programme.	Assistant Director Transformation	Digital skills developed and retained in house Highly functioning team	Ongoing as required	<p>September 2019</p> <p>The Digital team continues to launch new online services, enabling customers to self-serve on Medway.gov.uk. Most recently, new online services to go live have included ‘Apply and pay for a blue badge’, ‘Pay for a resident parking permit’ and ‘Pay for a business parking permit’. We have successfully implemented the council’s payment system (Sage Pay) with Jadu which has allowed us to take these payments. We have also created a proof of concept to link our website system with one of our back-office systems. This will allow customers to complete a form on Medway.gov.uk and for that information to automatically go into the work queue of front line staff, in their third party system. When this proof of concept is complete, it will allow us to create more online services for some of our biggest volume contact services. We continue to review, develop and improve the council’s main online presence, medway.gov.uk. Our roadmap covers the most-used tasks on medway.gov.uk and ensures the information and transactions which the majority of customers are completing online are continuously improved. In the past three months, some of our work has included:</p> <ul style="list-style-type: none"> • creating a section to promote the Kent and Medway social worker teaching partnership, to boost recruitment of social

				<p>workers in Medway.</p> <ul style="list-style-type: none"> • supporting the launch of online enrolment for adult education classes in their new system, making it easier for users to search for and book into a course. • redesigning the A Better Medway section on Medway.gov.uk, to support their ongoing campaigns and reflect their unique sub brand. • creating a summer landing page, pulling together useful information, advice and events for the summer months, to make it easier for customers to find and book events. • a review of the leisure section in time for the summer holidays, to make it easier for customers to find and book a class or swimming lesson • implementing the Medway the place brand onto medway.gov.uk, to play our part in supporting the Medway Champions. <p>Through Medway.gov.uk, the Digital team continues to support the council's marketing objectives. Through the news and events areas on Medway.gov.uk, we have recently promoted public health's Stoptober campaign, the Christmas pantomime, the new blue badge online service, the launch of the City of Culture bid and sporting events such as the national cycling championship.</p>
SR34.05: Clear transformation programme prioritises projects and resource allocation	Assistant Director Transformation	Transparent process for prioritising projects to give balanced delivery of programme outcomes. Savings targets achieved Prioritised work programme with adequate resourcing. Business cases for any additional investment required	Service roadmap agreed Quarterly review of relative priorities by Transformation Board	<p>September 2019</p> <p>A Business Change Officer Board has been established to identify and prioritise transformation projects. This group meets on a fortnightly basis and includes: Heads of ICT, Heads of Business Change, Head of HR, Head of Digital, Head of Comms, Finance and CABS.</p>
SR34.06: Decisions are made by the Transformation Board / Cabinet to prioritise digital	Assistant Director Transformation, in consultation with the	More expensive telephone and face to face channels are only used for complex services where customer need dictates this	Customer access strategy agreed June 17. For each	<p>September 2019</p> <p>The Digital team continues to launch new online services, enabling customers to self-serve on Medway.gov.uk. Most recently, new online services to go live have included 'Apply and</p>

channels / digital only to maximise benefits realisation	Transformation Board	Customer access strategy and assisted digital strategy	service going through the programme channel shift targets are agreed as savings are calculated	<p>pay for a blue badge', 'Pay for a resident parking permit' and 'Pay for a business parking permit'. We have successfully implemented the council's payment system (Sage Pay) with Jadu which has allowed us to take these payments. We have also created a proof of concept to link our website system with one of our back-office systems. This will allow customers to complete a form on Medway.gov.uk and for that information to automatically go into the work queue of front line staff, in their third party system. When this proof of concept is complete, it will allow us to create more online services for some of our biggest volume contact services. We continue to review, develop and improve the council's main online presence, medway.gov.uk. Our roadmap covers the most-used tasks on medway.gov.uk and ensures the information and transactions which the majority of customers are completing online are continuously improved. In the past three months, some of our work has included:</p> <ul style="list-style-type: none"> • creating a section to promote the Kent and Medway social worker teaching partnership, to boost recruitment of social workers in Medway. • supporting the launch of online enrolment for adult education classes in their new system, making it easier for users to search for and book into a course. • redesigning the A Better Medway section on Medway.gov.uk, to support their ongoing campaigns and reflect their unique sub brand. • creating a summer landing page, pulling together useful information, advice and events for the summer months, to make it easier for customers to find and book events. • a review of the leisure section in time for the summer holidays, to make it easier for customers to find and book a class or swimming lesson • implementing the Medway the place brand onto medway.gov.uk, to play our part in supporting the Medway Champions. <p>Through Medway.gov.uk, the Digital team continues to support the council's marketing objectives. Through the news and events areas on Medway.gov.uk, we have recently promoted public</p>
--	----------------------	--	--	---

				<p>health's Stoptober campaign, the Christmas pantomime, the new blue badge online service, the launch of the City of Culture bid and sporting events such as the national cycling championship.</p> <p>The Medway Council customer account went live on 4 June and we now have more than 2,080 people signed up. Through this account, customers can see details of transactions they have with completed on one of our new forms.</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>September 2019</p> <p>The Communications team has promoted some of our new online services including 'Apply for a blue badge' and is putting together a plan for wider promotion of our online services.</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.				

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: DII	Last Review: September 2019	Current Residual Score: DII	
<p>Threat / Inherent Risk</p> <p>An increasing demand in relation Councils Duty to provide temporary accommodation under s188/193 of HA 1996 caused by continuing high levels of homelessness and lack of affordable housing supply.</p> <p>Reductions in the level of income achieved due to welfare reform increasing the risk of overspend on the council's budget.</p> <p>Increase in the rough sleeping population in the Medway area.</p> <p>Changes to legislative frameworks placing greater demand on services.</p>		<p>Score</p> <p>BII</p>	<p>Triggers</p> <ul style="list-style-type: none"> • Increase in the number of households residing in temporary accommodation • Reduction in the councils ability to maximise prevention opportunities • Lack of appropriate temporary accommodation stock • Reduction in the availability of permanent affordable housing • Reductions in staffing levels to sustain levels of service <p>Consequence</p> <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 	

		<ul style="list-style-type: none"> Failing to achieve Members' expectations. 		
<p>Current Residual Risk</p> <p>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.</p>		<p>Score</p> <p>DII</p>	<p>Target Residual Risk</p> <p>In order to manage the overall level of risk the Council continues to develop preventative services to tackle homelessness. The risk of further increases to temporary accommodation should decrease, however this still stand to be influenced by the external factors identified within the current residual risk.</p>	<p>Score</p> <p>DII</p>
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	<p>Opportunities to prevent homelessness are maximised via service delivery and through the development of joint working/referral protocols with other services/organisations</p> <p>Increase in the amount of successful prevention cases</p> <p>Dedicated resource to tackle prevention of homelessness.</p>	<p>Monitoring throughout 2019/20</p> <p>Government HCLIC quarterly returns.</p>	<p>September 2019</p> <p>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, which comes to an end in 2019/20. Work continues to focus the service towards preventative activity, for the year to date there has been a reduction in approaches in comparison to the same period in 2018/19 however the service is still expecting to receive around 2500 (2648 in 2018/19) approaches for help with homelessness demonstrating that there is still considerable demand for assistance. Preventative activity remains successful with 382 cases prevented or relieved from homelessness in 2019/20 with the service aiming to undertake 900 before the end of the year in comparison to 813 undertaken in 2018/2019. Prevention activity is monitored on a monthly basis and discussed with the Portfolio holder.</p>
SR35.02: Increase opportunities of affordable housing supply	Assistant Director Physical and Cultural Regeneration/ Head of Housing	<p>Ensure that the need for affordable rented housing is recognised across the organisation enabling an increase in the amount of affordable homes delivered in line with the Planning Policy.</p>	<p>Monitoring throughout 2019/20</p> <p>Government P1E quarterly</p>	<p>September 2019</p> <p>Reviewed on 16 Sept 2019 no update required.</p> <p>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</p>

		<p>Increased provision of affordable housing.</p> <p>Take forwards plans for the Council to intervene in the market to provide affordable housing.</p>	returns.	<p>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.</p>
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	<p>A clear, cross-sector commitment to the way that rough sleepers in the Medway area are assisted to secure alternative accommodation.</p> <p>Reduction to the amount of visible rough sleeping activity in the area and relating complaints and media attention.</p> <p>Clear strategy in place for tackling cold weather provision and associated issues.</p>	Ongoing outcome reporting to be established through strategic group.	<p>September 2019</p> <p>Work continues to address the needs of rough sleepers at both operational and strategic levels. A draft homelessness and rough sleeping strategy is currently being consulted on and sets out a range of actions that demonstrate how the Council intends to intervene. The service has been successful in achieving approximately £1.3m in funding from MHCLG that has allowed for more than 90 rough sleepers to be placed in to accommodation. Work continues with the sector to develop sustainable plans for support to further alleviate rough sleeping.</p>
SR35.04: Ensure that options for the provision of temporary accommodation are transparent and reviewed in light of grant funding changes rather than subsidy to ensure that Medway is providing cost effective accommodation options.	Assistant Director Physical and Cultural Regeneration/ Head of Housing	<p>Adoption of a Dynamic Purchasing System (DPS) for the Council to secure accommodation in the Private Sector.</p> <p>Effective/Accurate Budget Monitoring</p> <p>Further increase options for lower cost TA provision.</p> <p>Implement a “tenancy management” type structure for management of TA – Maximising the income achieved via Housing Benefit</p> <p>Minimise rise in price for TA units in the private sector</p> <p>Emergency use only for TA Provision that is outside of usual pricing structure.</p>	Monitoring throughout 2017/18 Government P1E quarterly returns. Budget Monitoring	<p>September 2019</p> <p>Reviewed on 16 Sept 2019 no update required.</p> <p>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 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>

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

Corporate Risk: SR36 Alternative service delivery models		Risk Owner: AD Transformation, Chief Legal Officer, Chief Finance Officer	
		Portfolio: Leader's	
Inherent Score: BII	Target Residual Score: CIII	Last Review: October 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.

<u>Current Residual Risk</u>	<u>Score</u>	<u>Target Residual Risk</u>	<u>Score</u>	
<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 mitigating action is taken or expected.</p> <p>The effect of the action to date has been to develop a smooth transition and improve working relationships and clarify and confirm savings and consequences. This policy change has been a challenge to both parental expectations and operational processes and response.</p>	BIII	Ultimately as these alternative deliver models embed, the Council will be looking for increased revenue income and higher levels of performance.	CIII	
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	<p>Ensure effective decision making</p> <p>The council only enters into arrangements that are beneficial to the service and/or budget and are sustainable</p>	Cabinet considers all business cases prior to any alternative arrangements being agreed.	<p>October 2019</p> <p>A good example of managing new responsibilities is the transfer of the Waste Collection contract to Medway Norse in October 2019.</p> <p>All business areas for MCG are being reviewed with a new Business Plan expected to Cabinet this year.</p> <p>Business cases for Medway Development Company's pipeline of schemes, have been reviewed by Chief Finance Officer and Leader, prior to release of funding. A report to Cabinet in September 2019 detailed progress to date and I due to Business Support O&S in October.</p>

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	October 2019 Reviewed in October 2019 no update required. 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 clear corporate understanding	Corporate Management Team	Delivery model and council held accountable for quality and cost of service Council able to rely on financial information for robust financial planning High performance Financial resilience	Ad hoc as necessary	October 2019 Reviewed in October 2019 no update required. CMT has considered proposals for alternative delivery models before they are reviewed at Cabinet including the creation of the Medway Development Company Limited Overview & Scrutiny Committees have also conducted pre and post scrutiny of proposals. Regular reports of alternative delivery models are then made to Cabinet and Overview & Scrutiny Committees such as Medway Norse and Medway Commercial Group.
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	October 2019 Reviewed in October 2019 no update required. 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	Assistant Director Education and SEND	Transport arranged in a safe and timely way for school start in September. Cost savings delivered for	As per transition plan and procurement plan	September 2019 The transition and new contract arrangements were successfully implemented on time. Further refinements

implemented for 2018/19.		<p>academic year by consolidation of routes 2018/19.</p> <p>Maintenance of ongoing positive relationships with parents and providers.</p> <p>Service re-procured for September 2019.</p> <p>Transition plan for 2018/19 with clear agreed milestones.</p> <p>Adherence to re-procurement timelines and milestones</p>		will be undertaken during this term working with schools and contractors.
Opportunities and the way forward :				
There are opportunities to consider further services that would fit the alternative deliver model.				

Corporate Risk: SR37 Cyber Security		Risk Owner: Assistant Director Transformation	
		Portfolio: Resources	
Inherent Score: CI	Target Residual Score: DI	Last Review: September 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</p> <p>Layer 2: preventing malicious code from being executed on devices</p> <p>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>Current Residual Risk</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 CESG.</p> <p>The recent ICT structure has put in place a dedicated ICT Network and Cyber Security Manager. This has ensured that ICT has a senior manager responsible for security who is constantly monitoring the system for potential threats and ensuring PCN compliance. All required certifications/accreditations are in place and being constantly reviewed.</p>	<p><u>Score</u> C1</p>	<p>Target Residual Risk</p> <p>The cyber security risk is omnipresent and only by constantly maintaining the information security environment at levels accredited by CESG (PSN CoCo certification) can the council afford a degree of confidence that all that can be done is being done to mitigate this risk.</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> D1</p>
---	----------------------------	---	----------------------------

MITIGATION				
Ref: Action	Lead Officer	Desired Outcome / Expected Output	Milestones	Progress update
<p>SR 37.01 Secure configuration: Remove or disable unnecessary functionality from systems, and to quickly fix known vulnerabilities.</p>	Head of ICT	Patch Management regime in place to treat known vulnerabilities	Certified PSN compliance – April 2019	<p>September 2019</p> <p>Reviewed on 16 Sept 2019 no update required.</p> <p>Certification complete January 2019. Reaccreditation required January 2020</p>
<p>SR 37.02 Network security: Create and implement policies and appropriate architectural and technical responses, thereby reducing the chances of attacks succeeding</p>	Head of ICT	Network policies in place to prevent attacks	Certified PSN compliance – April 2019	
<p>SR 37.03 Managing user privileges: All users should be provided with a reasonable (but minimal) level of system privileges and rights needed for their role. The granting of highly elevated system privileges should be carefully controlled and managed.</p>	Head of ICT	User policies in place to ensure system privileges meet role requirements	Certified PSN compliance – April 2019	

<p>SR 37.04 User education and awareness: Users have a critical role to play in their organisation's security and so it's important that security rules and the technology provided enable users to do their job as well as help keep the organisation secure. This can be supported by a systematic delivery of awareness programmes and training that deliver security expertise as well as helping to establish a security-conscious culture</p>	Head of ICT	Information and cyber security training available to all system users. Staff induction references cyber security risks and user responsibilities for risk treatment	<p>Certified PSN compliance – April 2019</p> <p>Bid for funds against LGA cyber security budget – November 2019</p>	<p>September 2019 Reviewed on 16 Sept 2019 no update required. Certification complete January 2019. Reaccreditation required January 2020</p> <p>September 2019 LGA Cyber Resilience Programme funding approved to improve current training to include staff awareness training</p>
<p>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 confidence and potentially reduce any impact.</p>	Head of ICT	ICT security policies in place and regularly reviewed. Any recognised cyber security incident is reported to appropriate board	Certified PSN compliance – April 2019	<p>September 2019 Reviewed on 16 Sept 2019 no update required.</p> <p>Certification complete January 2019. Reaccreditation required January 2020</p>
<p>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.</p>	Head of ICT	Policies in place to monitor and capture known malicious code.	Certified PSN compliance – April 2019	

<p>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</p>	Head of ICT	Security Incident and event management (SIEM) systems in place.	<p>Certified PSN compliance – April 2019</p> <p>Bid for funds against LGA cyber security budget – November 2019</p>	<p>September 2019 Reviewed on 16 Sept 2019 no update required. Certification complete January 2019. Reaccreditation required January 2020</p>
<p>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.</p>	Head of ICT	Removable media policies in place with security controls on user devices	<p>Certified PSN compliance – April 2019</p>	<p>September 2019 Reviewed on 16 Sept 2019 no update required. Certification complete January 2019. Reaccreditation required January 2020</p>
<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	<p>Certified PSN compliance – April 2019</p>	
<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>				

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.

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: September 2019	Current Residual Score: EIII	
<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 and Medway Norse have very successfully mobilised and seamlessly transferred the waste collection and cleansing contract from Pier Approach Road depot on 1 October 2019.</p> <p>The collection and cleansing budget has been agreed by council finance and waste teams.</p> <p>Council and Norse systems have successfully integrated with full 2-way communication.</p> <p>Legal tasks are complex but progressing with both parties working</p>		<p><u>Score</u></p> <p>EIII</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>

towards sign off in October.				
The Veolia waste transfer and recycling disposal contract Letter of Intent is signed with full legal documents to follow in October.				
Mitigation				
Ref: Action	Lead Officer	Desired Outcome: Expected Output	Milestones	Progress update
SR 38.01: Secure a depot site for daily operation of the waste services 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.	Head of Environmental Services & Medway Norse Partnership Director	Medway Council Legal team reviewing lease Review all potential council and non-council sites in conjunction with Planning and Property Identify 1 or more potential sites in the short and medium term Agree legal mechanism between the council and Norse for development of Depot site (25yr lease likely) Secure planning permission and initiate Environment Agency permissions Operating Licence application Complete depot site preparation works (workshop build, ICT, storage, office etc.) Depot site operational go-live	Monitored at monthly Waste Project Board meetings	OCTOBER 2019 Service mobilising from Pier Approach Road. Relevant planning permissions in place as of 19/09/19. Action completed; no further update required.
SR 38.02: ICT Integration Plan	Head of Environmental Services	Agree integration pathways between partners Process map existing "as is" processes with Veolia systems and "to be" processes with Norse systems Build UPRN operational round data for collections and cleansing Testing	Monitored at monthly Waste Project Board meetings	OCTOBER 2019 Full two-way integration between all Council and Norse systems was achieved in time for go-live on 1-10-19 and contingencies plans were not needed. 100% of collection and 50% of cleansing rounds are merged with UPRN data. The street cleansing task will be complete by early November and is not essential for daily operations, but will contribute to increase operational efficiency.
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	OCTOBER 2019 Medway Legal have drafted the supplementary agreement and this on track for sign off by both parties by mid October.

			Board meetings	
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	OCTOBER 2019 Both parties have signed a Letter of Intent with contract documents due for completion in October.
Opportunities and the way forward				
<p>Transferring the waste collection and cleansing contract to Medway Norse allows greater service flexibility allowing in contract changes. Moving forward opportunities from Transformation will be investigated once the Confirm-Bartec integration has been established.</p> <p>Electric vehicles were considered for the street cleansing fleet, however the technology is in its infancy and the charging infrastructure in Medway would not support HGV options. Low emission vehicles have been chosen where possible.</p> <p>Waste ICT integration learning will be used when planning the Grounds Maintenance eforms integration with Medway Norse Bartec Collective system.</p>				