Medway Council Strategic Risk Register - Quarter 3 2019/20

									Risks relevant to this committee	Risks relevant to all committees	Risks relevant to other committees
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 Committee
SR25	3	Non-delivery of Transformation in Adult Social Care	Director of People – C&A	CII	EII	EII	↓		L – very low I - critical	People	HASC
SR02	6	Business continuity and emergency planning	Director of RCET	C1	DII	DII	→		L - low I - critical	All/WOW	BS
SRO3B	8	Finances	Chief Finance Officer	AI	AI	CIII	→		L – very high I - catastrophic	All/WOW	BS
SR21	10	Procurement savings – capacity and delivery	Chief Legal Officer	AII	DII	DIII	→		L – low I - critical	All/WOW	BS
SR32	13	Data and information	Chief Legal Officer	BII	CII	DIII	→		L - significant I - critical	All/WOW	BS
SR33	15	Impact of welfare reform	Chief Finance Officer	CII	EIII	EIII	↓		L – very low I - marginal	All/WOW	BS
SR34	19	Successful delivery of the corporate transformation programme	Chief Finance Officer	BII	EIII	EIII	↓		L – very low I - marginal	All/WOW	BS
SR35	23	Homelessness	AD Physical and Cultural Regeneration	BII	DII	DII	→		L - low I - critical	Growth	BS
SR36	26	Alternative service delivery models	Chief Legal Officer, Director of RCET	BII	BIII	CIII	→		L - high I - Marginal	All/WOW	BS
SR37	29	Cyber Security	Chief Finance Officer	CI	CI	DI	→		L - significant I - Catastrophic	All/WOW	BS
SR17	32	Delivering regeneration	Director of RCET	BII	CII	DII	→		L - significant I - critical	Growth	RCE
SR26	37	Non-delivery of Children's Services Improvement	Director of People – C&A	AII	AII	DIII	↑		L – very high I - critical	People	CYP
SR27	43	Local Authority's ongoing relationship with all schools and academies	Director of People – C&A	BII	CIII	CIII	→		L - significant I - marginal	People	CYP
SR39	45	Lack of resources to keep young people with SEND safe due to increasing demand and complexity of need pressures	Director of People – C&A	BII	BII	DIII	↑		L - high I - critical	People	CYP
SRO9B	47	Keeping vulnerable adolescents safe	Director of People – C&A	BII	BII	DIII	→		L - high I - critical	People	CYP

Strategic Risk Profile

Likelihood	IV	III	II	I
A			26	03B
B		36	09B, 39	
C		27	32,	37
D			02, 21, 35, 17	
E		34, 33	25	
F				

Likelihood (vertical axis) — **Impact** (horizontal axis)

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: SR25 Non-delivery of Transformation in Adult Social Care		Risk Owner: Director of People – Children And Adults Services	
		Portfolio: Adults' Services	
Inherent Score: CII	Target Residual Score: EII	Last Review: December 2019	Current Residual Score: EII

Threat / Inherent Risk	Score	Trigger
The local population of older people and disabled adults is increasing significantly – (source: Joint Strategic Needs Analysis, POPPI and PANSI intelligence).	CII	Demographic impact.

Threat / Inherent Risk

The local population of older people and disabled adults is increasing significantly – (source: Joint Strategic Needs Analysis, POPPI and PANSI intelligence).

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%

The achievement of these ambitions represents a significant challenge to the local authority and our health partners (The Council only controls a small proportion of the system, alongside the CCG and Medway Foundation Trust). The development and delivery of the Kent and Medway Sustainability and Transformation Plan may have an impact on our ability to ensure better out of hospital care and improved integration. There continues to be pressure on the social care market in terms of both the numbers of hospital discharges and the ability of domiciliary care providers to recruit and retain carers.

There is a risk that the changes needed across the system will take longer to implement than our current ambitions state.

The transformation of Adult Social Care will continue to require corporate support and there is a risk that a lack of organisational capacity and resilience may slow progress.

The implementation of the Care Act and changes to financial regulations in 2010 and the implementation of the Universal Credit/ ESA and Housing Benefit may impact on the level of client income that can be charged.

Providers are facing a number of financial pressures which have the potential to impact on the cost of care packages, including, the impact of sleep in charges, national minimum living wage increases and other inflationary pressures. In addition, the national transforming care programme will place pressures on the local authority as a result of the requirement for us to secure and fund local provision.

Score

CII

Trigger

Demographic impact.

There are national ambitions for further integration by 2020.

The implementation of the ICS across Kent and Medway, and the development of an Integrated Care Partnership for Medway and Swale.

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.

Capacity planning for local care must incorporate social care and preventative services

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.

Level of savings achieved through improvement programme lower than budgeted

Consequence

Potentially significant increase in spend on Adult Social Care and pressure on commissioned and in-house services

Reduction in market capacity (particularly for placements) and increase in fees (commissioned care and direct payment rates)

Reduction in capacity to support wider health and care economy

Decrease in quality of care placements

Insufficient resources to undertake statutory functions

Inability to meet demand placed on social care through changes to primary care and secondary care

As the number of discharges from hospital increases this places pressure on the community equipment service, which is a pooled budget.

Current Residual Risk	Score	Target Residual Risk	Score
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.

Levels of safeguarding enquiries have increased in recent years, and this is putting pressure on resources within the service.

Significant work has been undertaken in partnership in regard to hospital discharges, significantly reducing and maintaining a reduction in the number of DTOCs.

The Transformation Programme for ASC is required to deliver in-year savings of £1.437m in FY2019/20. This is made up of £1.013m in 19/20 and the shortfall of £0.424m carried over from 18/19. Furthermore, savings of £178k in respect of Shared Lives are required. At the end of the programme a total of £5.473m will have been delivered by Adult Social Care over a three-year period.

Following a diagnostic assessment of Adults Services in the spring of 2016, a total of £3.9m savings were identified to be delivered over a three-year period. The programme has gone over its savings target.

Since this risk has achieved its target residual score, it is proposed to remove it from the Strategic Risk Register at Q4 monitoring. Monitoring will continue at directorate level. | EII | Whilst there is ongoing work to be done to ensure the continued sustainability of the programme's success it is likely that this is scoped out in a new set of aims and projects that are separated from the original scope outlined following the diagnostic in 2016. | EII |

Mitigation

Ref: Action	Lead Officer	Desired Outcome / Expected Output	Milestones	Progress update
SR 25.06: Managing demand and maximising use of resources and alternatives to traditional packages of care (including MICES and Home Care).	Head of Business & Intelligence	Best outcomes for people (as per their support plans) and best value for the Local Authority as statutory body and commissioner.	Ongoing	December 2019
Across permanent admissions to residential and nursing care homes for adults we have seen a reduction both cohorts (18-64 and 65+), per 100,000 population. As well as a sustained trend in clients receiving either self-directed support or direct payments.
SR 25.07: Managing market	Head of	A safe and stable local sector of	Ongoing	December 2019

ensuring enough capacity and a suitably wide range of services to meet need.	Adults' Partnership Commissioning and BCF	providers that can meet our local needs and provide high quality care and support to our residents.		Work is ongoing to commission services for service users in Medway. We have recently re-commissioned our equipment service. We have also begun recommissioning our Home Care and Extra Care services using a new model of service delivery.
SR 25.08: Ensuring quality of placements and delivery of statutory services	Head of Business & Intelligence	Good quality placements that meet the needs of service users as well as the assurance of good in-house service delivery including specialist services like DOLs, mental health and .	Ongoing	December 2019 Regular placement monitoring is undertaken by our in-house Quality Assurance Team. Assessment is inline with statutory guidance and a robust quality assurance framework.
SR 25.09: Improve processes to better cope with increased service user demand and complexity as highlighted by the SEND revisit.	Head of Business Change (People) and ICT	An improved process will ensure that all service users are assessed in good time	Ongoing	December 2019 Work is ongoing reviewing processes and procedures throughout Adult Social Care. A Transitions Working Group has been established including representatives from Adult Social Care, Children's Social Care, Public Health, Partnership Commissioning, Housing, Finance, Health and service users to look at the transfer from Children's Social Care to Adults' Social Care. Also the Business Change Team are working with Customer and Business Support, the Locality Teams and Performance and Intelligence to review call data and content, and current scripting to determine next steps in improving the process.

Opportunities and the way forward

Transformation is ongoing within the service, however as the original programme comes to a close and the original 'Getting Better Together' strategy, we have begun to scope a 'what's next' approach to our next programme of transformation

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: December 2019	Current Residual Score: DII	
Threat / Inherent Risk Duties under the Civil Contingencies Act require councils to have an Emergency Plan. The Emergency Management and Response Structure may not be robust enough to respond to a major emergency. Every business activity is at risk of disruption from a variety of threats, which vary in magnitude from catastrophic through to trivial, and include pandemic flu, fire, flood, loss of utility supplies and accidental or malicious damage of assets or resources. The change of council assets / responsibilities going to either commissioned or third party contractors, Medway Norse or Medway Commercial Group also provides unique challenges to the established Roles and responsibilities during planning and response to Emergency Events.		**Score** CI	**Trigger** A significant adverse event occurs and the Council is found wanting or negligent in its planning and/or operational response. **Consequence** • 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'.		
Current Residual Risk The Emergency Plan is subject to rigorous testing on a regular basis both internally and externally with the plan continually refined as a result to meet the ever-changing needs of the council and local area. An annual presentation on Business Continuity is included at a meeting of all council Service Managers. Assistant Directors are responsible for ensuring that the testing of business continuity plans has taken place. Testing to date has been completed during live incidents. The Corporate Business Continuity Plan is currently being refreshed and is aligned to the Emergency Plan.		**Score** DII	**Target Residual Risk** 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.		**Score** DII

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	Revised plan agreed by Corporate Management Team. Continued engagement with Kent Resilience Forum. Staff trained in emergency response management at all levels. A sustainable and robust on call rota in place at all levels. Existing plan in place. Programme of on-going review of COMAH plans. Emergency response operations room in place. On call rota in place covering all roles & responsibilities 24/7.	Draft plan in place. Call out arrangements in place covering all roles & responsibilities 24/7 (enhanced during LA stand down Periods). Relevant staff training during 2019.	**DECEMBER 2019** Reviewed on 11 December 2019 no update required. 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. 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.
SR 02.02: Business continuity plans completed to implement the actions	Director of Regeneration, Culture, Environment & Transformation	All services will have an up-to-date and tested Business Continuity Plan. Business Continuity Management Policy agreed. Business Continuity Management principles and training provided to divisional management teams across the Council is ongoing. Corporate Recovery Plan. IT Recovery Plan in place.	Plans tested Business Continuity Audit 2017 actions completed in 2018.	**DECEMBER 2019** The ICT business continuity and recovery plan were reviewed and updated in October 2019 as part of the Council's preparations for Brexit. At Business Support Overview and Scrutiny on the 28 November 2019, a briefing note was requested by members demonstrating the preparedness of the council in the event of Brexit. A dashboard to monitor the refresh of business continuity plans by April each year is overseen by the Strategic Risk Management Group and reported six monthly to Corporate Management Team as part of the Corporate Risk Register. Assistant Directors are

				responsible for ensuring that the testing of plans has taken place. An annual presentation on Business Continuity is included at Service Managers Meeting in September each year. Service Managers are responsible for making staff aware of their Service Business Continuity Plan and their roles and responsibilities within it. This also forms part of the induction for all new staff.

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: December 2019**	**Current Residual Score: AI**

Threat / Inherent Risk	**Score**	**Trigger**	
There continues to be a major risk over the Council's ability to deliver a balanced budget, whilst at the same time delivering good quality services to the people of Medway. The move away from central support from Government and greater reliance on local taxation through council tax and retained business rates, whilst providing local authorities with the opportunity to benefit directly from growth, also brings with it significant risks to overall funding.	AI	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. **Consequence** • 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.	
Current Residual Risk	**Score**	**Target Residual Risk**	**Score**
The Council benefitted from its involvement in the Kent and Medway 100% business rate retention pilot. In spite of significant demographic pressures, it was able to increase general reserves by around £2.7m. Demographic pressures remain an issue and in addition to the usual pressures in adult social care and children's care there is a rapidly	AI	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.	CIII

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.

The Chancellor's recent Spending Round announcements in September 2019 offered some certainty for 2020/21 with essentially a rollover 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.

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.

There will always however be a significant residual risk, as the MTFS is based upon uncertain assumptions in respect of the Council's tax base, the Government's finances, demographic pressures, inflation, interest rates and the economic climate.

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	**January 2020** Whilst the Spending Round was helpful, it offers little certainty for 2021/22 and beyond. The deficit against the High Needs Block of the DSG still remains one of the main risks to financial sustainability, however a meeting is planned with ESFA officials towards the end of January to review our SEND deficit plan and discuss possible solutions, both local and national.
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 -	Medium Term Financial Strategy in September Capital and Revenue budget agreed by Council in February	**January 2020** Reviewed Jan 2020 no update required. 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

		adequacy of financial planning, effective budget control, balanced budget and adequacy of reserves		service areas.
SR03B.03: Create resources for investment priorities	Corporate Management Team	Track funding opportunities Maximise capital receipts on asset disposal Prudential borrowing Revenue returns from investments and capital assets and appreciation in capital asset values	On-going	**January 2020** Cabinet Members have been consulted, in order to prioritise our capital aspirations, as outlined in the capital strategy. The outcome of this work will inform the refresh of the capital programme to be agreed by Council in February, allocating scarce resources to priority schemes.
SR03B.04: Delivery of digital transformation programme	Transformati on 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	**January 2020** The Business Change and Digital team has now been transferred to the Chief Finance Officer, with greater emphasis being placed on the 'benefits realisation' element of the transformation programme.

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: SR21 Procurement savings – capacity and delivery			**Risk Owner: Chief Legal Officer**	
			Portfolio: Resources	
Inherent Score: AII		**Target Residual Score: DIII**	**Last Review: October 2019**	**Current Residual Score: DII**
Threat / Inherent Risk		**Score**	**Trigger**	
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.		AII	• Budget pressures • Audit reviews reveal weaknesses. • Market inflationary pressure on prices **Consequence**	

		• 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.	
Current Residual Risk	**Score**	**Target Residual Risk**	**Score**
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.	DII	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.	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	**January 2020** 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. A good example of continued delivery by the Category Management team, under the monitoring of Procurement Board and Cabinet is the MICES (community equipment) contract (Cabinet 14 January 2020). Significant savings have been identified, whilst maintaining quality for customers of this key service.

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	**January 2020** 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. November 2019 had a good example with the £12 million MICES (community equipment) contract. Savings were identified as part of the process, which saw a new entrant to the market who had invested in technology to reduce unit costs.
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	**January 2020** Reviewed in January 2020 no update required. 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	**January 2020** MICES contract is good example of Partnership Commissioning and Category Management conducting market engagement, a competitive process and driving out quality improvements and revenue savings.
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	**January 2020** MICES contract included supplier engagement.
Opportunities and the way forward				
The Council remains open to the opportunities to share procurement resources with other Councils.				

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	Score	Trigger
Our Transformation Programme involves an increased reliance on digital technology both for customers and the Council. This brings with is 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 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. Greater flexibility for the workforce using digital tools brings risk. Greater availability of information from the Council brings risk.	BII	• Budget pressures • ICO Audit reveals areas for improvement • Digital Strategy • Big Data project with academics • Annual information governance toolkit submission **Consequence** • Data loss leads to damage to reputation. • Not achieving cost efficiencies through Digital Strategy changes • Failing to achieve Members' expectations. • Failing to find new innovations • Failing to deliver good quality care for residents of Medway

Current Residual Risk	Score	Target Residual Risk	Score
The Council has a Senior Information Risk Officer (SIRO) and a Caldicott Guardian. The Council has a Data Protection Officer. The Council manages information risk through a Security and Information Governance Group (SIGG). The Council has a suite of information governance policies. The Council has information sharing agreements and protocols in place. The Council has taken part in a "Big Data" project without any risks materialising. Training to all officers and to Members is being rolled out successfully.	CII	Human error is completely eradicated from data and information scenarios. Data breaches are very rare and when it occurs corrective action is taken quickly, learning implemented and accountability for future improved performance identified. Information sharing is commonplace and well managed.	DIII

Mitigation				
Ref: Action	Lead Officer	Desired Outcome :Expected Output	Milestones	Progress update
SR32.01: The Council has a Senior Information Risk Owner (Chief Legal Officer) and a Caldicott Guardian (Director of Children's and Adults Services) and in time for the General Data Protection Regulation also a Data Protection Officer (the Information Governance Manager)	Chief Legal Officer	To ensure that appropriate organisational safeguards are in place for sharing information. Information governance policies and procedures are available on the intranet. Privacy Impact Assessments (PIAs) ISAs and Standards Operating Procedures (SOPs) also exists detailing roles and responsibilities.	On-going.	**January 2020** Reviewed in January 2020 no update required. 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.
SR32.02: Information Sharing Agreement (ISA) for Kent	Chief Legal Officer	Provides the basis for ISAs within Kent organisations and outside PIAs, ISAs and SOPs and where appropriate Data Lcence Agreements.	On-going	**January 2020** Reviewed in January 2020 no update required. The Information Governance Manager is maintaining a central register of agreements.
SR32.03: Security and Information Governance Group	Chief Legal Officer	Providing a corporate overview of all information risk across projects and initiatives Minutes of SIGG meetings attended by representatives from Public Health, RCET and C&A Departments	On-going	**January 2020** Reviewed in January 2020 no update required. 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.	**January 2020** Reviewed in January 2020 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	On-going	**January 2020** Additional recruitment has taken place and the new team is beginning to bed in and drive improvements such as in the outstanding number

		Annual IG Toolkit submission GDPR readiness		of FOIs and the response rate for SARs.

Opportunities and the way forward
No opportunities identified in this round.

Corporate Risk: SR33 Impact of Welfare Reform			**Risk Owner: Chief Finance Officer**	
			Portfolio: Leader's	
Inherent Score: CII		**Target Residual Score: EIII**	**Last Review: October 2019**	**Current Residual Score: EIII**
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 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.	**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: • Changes to tax allowances and thresholds; • Reform of benefits (eg. Universal Credit, the cap); • Changes in eligibility for social housing; • Introduction of the living wage; • An influx of both identified and unidentified customers. **Consequence** • 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		
Current Residual Risk 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. The Council has focussed on the 'assisted digital' offer and on supporting and sign-posting people affected by these changes with personal budgeting advice.	**Score** EIII	**Target Residual Risk** 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. This can be achieved by ensuring that the right support and services are in place for vulnerable people, but this will only be	**Score** EIII

There has also been a concerted programme of awareness raising, information sharing and training for officers, Members and partners. Since this risk has achieved its target residual score, it is proposed to remove it from the Strategic Risk Register at Q4 monitoring.	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.

Mitigation

Ref: Action	Lead Officer	Desired Outcome / Expected Output	Milestones	Progress update
SR 33.01: Provide direct financial support for the most vulnerable members of the community.	Chief Finance Officer	Customers are able to sustain tenancies and mortgages. Families remain resilient and less likely to need Council services. Administration of the following: • Council tax reduction scheme; • Discretionary relief scheme; • Enhanced housing benefit; • Welfare provision.	Reduced number of customers presenting for reasons of home-lessness. Reduced KPI: rent arrears as % of rent debit.	**January 2020** 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 and performs well in comparison with others however both long and short term trends are showing that rent arrears are increasing.
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.	**January 2020** Reviewed Jan 2020 no update required. Officers last reported to the Business Support Overview and Scrutiny Committee in October 2018. The original action plan was largely delivered and the work streams have been embedded in 'business as usual': • 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.	Number of referrals made to new service	**January 2020** Reviewed Jan 2020 no update required. 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.

		Publicity and sign-posting to service		
SR 33.04: Closer working with the DWP in relation to the implementation of Universal Credit.	Chief Finance Officer	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.	**January 2020** Reviewed Jan 2020 no update required. Successful roll out of Universal Credit for families from May 2018. Delivery of debt advice and assisted digital services continues. Comprehensive programme of training delivered with DWP colleagues to officers, Members and other partners. 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.
SR 33.05: Review of the HRA business plan to address the impact of the 1% reduction in rents and the high value subsidy figure which is being legislated in the proposed Housing Bill.	Head of Housing	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. O&S report on revised HRA business plan – October 2016	**December 2019** The HRA Business Plan has been amended to take advantage of the Government's decision to remove the borrowing cap on the HRA. In spite of the roll out of UC, tenant arrears remains under control and performing well in comparison to other similar sized landlords. 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 final year of four was implemented from April 2019 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	Skills and Employability Manager	Support long term unemployed people into sustained employment. Generate reward grant to fund activity.	Targets set under the programme	**DECEMBER 2019** Between August 2009 and January 2018, Employ Medway supported 2,150 long-term unemployed or disadvantaged local residents into work. The Work

				Programme resulted in 15,946 months reduction in benefit payments with an estimated value of £9.5 million.
				From January 2018, the Work Programme was superseded by the Work and Health Programme. This contract has been extremely challenging to deliver – a situation which is reflected at national level. Following an Options Analysis, and consideration at officer and member level, the decision has been taken to return the contract to the Shaw Trust, and cease in-house provision of the Employ Medway service. This is effective 18 December 2019.
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	**January 2020** 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: Chief Finance Officer	
		Portfolio: Resources	
Inherent Score: BII	Target Residual Score: EIII	Last Review: December 2019	Current Residual Score: EIII

Threat / Inherent Risk	Score	Triggers	
The Council has established a corporate transformation programme designed to: • 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 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. 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. 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.	BII	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. Key triggers are: • 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. **Consequence** • Programme outcomes are not delivered • Budget savings expectations are not fully met • Customer expectations about online service delivery are not met impacting on satisfaction with the council and its reputation • Customers don't use digital channels • Staff not given the tools to do their jobs in most efficient manner • The opportunity is missed to benefit from data analytics to tailor services and manage demand through preventative work	
Current Residual Risk 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.	Score EIII	**Target Residual Risk** 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	Score EIII

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.

Since this risk has achieved its target residual score, it is proposed to remove it from the Strategic Risk Register at Q4 monitoring.

Mitigation

Ref: Action	Lead Officer	Desired Outcome / Expected Output	Milestones	Progress update
SR34.01: Active leadership by service Assistant Director	Corporate Management Team	Business problems and issues are addressed, and service costs are reduced. Transformation activity is viewed as part of mainstream work. Appropriate priority is given to transformation work by services with resources clearly identified	Quarterly review by CMT	**DECEMBER 2019** The Chief Executive, Deputy Chief Executive/Director RCET, Director Children & Adults and the Assistant Director Transformation are members of the Transformation Board so take an active leadership role with the change programme.
SR34.02: Leadership development delivered through the Leadership Academy	Assistant Director Transformation	Managers demonstrate required leadership behaviours Skilled and effective leaders.	Academy launched May 2017	**DECEMBER 2019** The Council's Leadership and Digital Engagement Coordinator has now transferred to the Business Change Team to ensure leadership development is aligned with the Council's change programme
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	**DECEMBER 2019** A number of re-organisations have been reviewed this year, including ICT, Housing and the whole of Frontline Services. Effective communication and consultation has been essential in the change of culture during these reviews.
SR34.04: Use	Assistant	Digital skills developed and retained in	Ongoing as	**DECEMBER 2019**

specialist recruitment agency to help us attract staff experienced in digital transformation, combined with developing internal talent through secondment programme.	Director Transformation	house Highly functioning team	required	Reviewed Dec 2019 no update required.

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:

- 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. 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.
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	**DECEMBER 2019** A programme of projects for 20/21 was presented to transformation board in November 2019.
SR34.06: Decisions are made by the Transformation Board / Cabinet to prioritise digital channels / digital only to maximise benefits realisation	Assistant Director Transformation, in consultation with the Transformation Board	More expensive telephone and face to face channels are only used for complex services where customer need dictates this Customer access strategy and assisted digital strategy	Customer access strategy agreed June 17. For each service going through the programme channel shift targets are agreed as savings are calculated	**DECEMBER 2019** Online payments: JADU has now been integrated with Sage Page to allow the Council to take online payments, which have now been implemented parking permits and planning applications. Sports Centres Review: Following feedback from customers, it is now easier to find information about each sports centre on Medway.gov.uk. Services can now also better promote information, such as closures and changes to programmes, to reduce calls into Customer Contact. Business Web Presence: Following a request for a new website, a presence has been created on Medway.gov.uk to meet our council priority of promoting Medway as a great place to work. Learning Disability Annual Health Check: A large number of young people with learning disabilities are entitled to free health checks but are not taking them up. To support the take up of this service, and a communications campaign, new learning disabilities health check pages were created on Medway.gov.uk and went live on 17 September 2019.

				Kent and Medway Social Worker Teaching Partnership: Following a request for a new website, and in line with the council's rationalisation plan, a new presence was created on Medway.gov.uk for the Kent and Medway Social Worker Teaching Partnership. Creating a presence on Medway.gov.uk means avoiding hosting, software and domain costs.
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	**DECEMBER 2019** Regular updates are provided to staff via newsletters, MedSpace and the Smart Medway section of the website.

Opportunities and the way forward
The transformation programme has now transitioned in to a permanent Business Change Team. An ongoing programme of projects has been identified to build upon the capabilities delivered by the transformation programme. As these projects are delivered, and new ways of working become 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: December 2019**	**Current Residual Score: DII**
Threat / Inherent Risk An increasing demand in relation Councils Duty to provide temporary accommodation under s188/193 of HA 1996 caused by continuing high levels of homelessness and lack of affordable housing supply. Reductions in the level of income achieved due to welfare reform increasing the risk of overspend on the council's budget. Increase in the rough sleeping population in the Medway area. Changes to legislative frameworks placing greater demand on services.	**Score** BII	**Triggers** - 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 **Consequence** - Increasing and unsustainable overspend of allocated budget - Poorer outcomes for children and vulnerable adults - Increased legal challenge and penalty from the LGO - Reputational Damage - Failing to achieve Members' expectations.	
Current Residual Risk	**Score**	**Target Residual Risk**	**Score**

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.	DII	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.	DII	

MITIGATION

Ref: Action	Lead Officer	Desired Outcome: Expected Output	Milestones	Progress update
SR35.01: Increase the prevention activity undertaken including opportunities for joint working across directorates as well as with other organisations such as DWP	Assistant Director Physical and Cultural Regeneration/ Head of Housing	Opportunities to prevent homelessness are maximised via service delivery and through the development of joint working/referral protocols with other services/organisations Increase in the amount of successful prevention cases Dedicated resource to tackle prevention of homelessness.	Monitoring throughout 2019/20 Government HCLIC quarterly returns.	**DECEMBER 2019** Work continues to ensure that the Council intervenes as early as possible in people's circumstances to prevent them from becoming homeless. The resource of the team has been reviewed to ensure that we remain compliant with statutory duties, the cost of this has been reduced but not fully met by new burdens funding, 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 638 cases prevented or relieved from homelessness in 2019/20 with the service aiming to undertake over 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.
SR35.02: Increase opportunities of affordable housing supply	Assistant Director Physical and Cultural Regeneration/ Head of Housing	Ensure that the need for affordable rented housing is recognised across the organisation enabling an increase in the amount of affordable homes delivered in line with the Planning Policy. Increased provision of affordable housing. Take forwards plans for the Council to	Monitoring throughout 2019/20 Government P1E quarterly returns.	**DECEMBER 2019** Reviewed on 20 December 2019 no update required. Delivery of affordable housing remains low in comparison to demand, however the Council plan target to deliver 204 homes is currently on target to he 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

		intervene in the market to provide affordable housing.		mitigate against increasing viability issues an open book process is taken with developers and housing providers as well as seeking independent expert advice.
SR35.03: Establish a strategic group to assess the scale of rough sleeping in Medway and lead on the development of interventions to reduce the issue	Assistant Director Physical and Cultural Regeneration/ Head of Housing	A clear, cross-sector commitment to the way that rough sleepers in the Medway area are assisted to secure alternative accommodation. Reduction to the amount of visible rough sleeping activity in the area and relating complaints and media attention. Clear strategy in place for tackling cold weather provision and associated issues.	Ongoing outcome reporting to be established through strategic group.	**DECEMBER 2019** 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 100 rough sleepers to be placed in to accommodation. Work continues with the sector to develop sustainable plans for support to further alleviate rough sleeping.
SR35.04: Ensure that options for the provision of temporary accommodation are transparent and reviewed in light of grant funding changes rather than subsidy to ensure that Medway is providing cost effective accommodation options.	Assistant Director Physical and Cultural Regeneration/ Head of Housing	Adoption of a Dynamic Purchasing System (DPS) for the Council to secure accommodation in the Private Sector. Effective/Accurate Budget Monitoring Further increase options for lower cost TA provision. Implement a "tenancy management" type structure for management of TA – Maximising the income achieved via Housing Benefit Minimise rise in price for TA units in the private sector Emergency use only for TA Provision that is outside of usual pricing structure.	Monitoring throughout 2019/20 Government P1E quarterly returns. Budget Monitoring	**DECEMBER 2019** Reviewed on 20 December 2019 no update required. 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.
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: Chief Legal Officer, Chief Finance Officer	
			Portfolio: Leader's	
Inherent Score: BII	Target Residual Score: CIII		Last Review: October 2019	Current Residual Score: BIII
Threat / Inherent Risk 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. The primary driver for entering into such models is typically to reduce costs while protecting service delivery and building resilience. 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. Weak or ineffectual oversight / management / monitoring by the council as expertise is transferred to the new delivery model. Failures in governance that expose untreated risk.		**Score** BII	**Triggers** Weak options appraisals/businesses cases; opportunities overstated as commercial markets are not realised, and risks understated. Failure to effectively manage (staffing, relationships, agreements/contracts) the transition between the council and the service delivery model. Limited due diligence conducted on new service provider or key individuals in that provider. Weak or unclear agreements/contract and governance arrangements. Failure of a provider, risking failure to deliver services. **Consequence** • 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.	
Current Residual Risk All alternative delivery models are required to produce business cases that are considered at Corporate Management Team and then by Cabinet. The performance of these models is regularly reviewed by Cabinet and scrutinised by the relevant Overview and Scrutiny Committee. Where issues arise these can also be discussed at Corporate Management Team, where this is a standing agenda item.		**Score** BIII	**Target Residual Risk** Ultimately as these alternative deliver models embed, the Council will be looking for increased revenue income and higher levels of performance.	**Score** CIII

Underperformance is identified by client side officers or Members and mitigating action is taken or expected.

The effect of the action to date has been to develop a smooth transition and improve working relationships and clarify and confirm savings and consequences. This policy change has been a challenge to both parental expectations and operational processes and response.

Mitigation				
Ref: Action	**Lead Officer**	**Desired Outcome: Expected Output**	**Milestones**	**Progress update**
SR36.01: Robust options appraisals, detailed business cases prepared	Relevant Assistant Director for each Service	Ensure effective decision making The council only enters into arrangements that are beneficial to the service and/or budget and are sustainable	Cabinet considers all business cases prior to any alternative arrangements being agreed.	**January 2020** The "benchmark" approach adopted by MDC and evidenced in reports to Cabinet and Scrutiny in late 2019, is now being used by MCG with a new Business Plan to be presented to Cabinet in February.
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	**January 2020** The successful transfer of waste services from Veolia to Medway Norse is good evidence of the careful project management of significant alternative delivery models. Where a risk arose around a depot site, mitigating action was taken, approved by Cabinet, to purchase a new site with temporary interim arrangements put in place.
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	Ad hoc as necessary	**January 2020** Reviewed Jan 2020 no update required. CMT has considered proposals for alternative delivery models before they are reviewed at Cabinet including

		planning High performance Financial resilience		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	Chief Finance Officer	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	**January 2020** Reviewed Jan 2020 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 implemented for 2018/19.	Assistant Director Education and SEND	Transport arranged in a safe and timely way for school start in September. Cost savings delivered for academic year by consolidation of routes 2018/19. Maintenance of ongoing positive relationships with parents and providers. Service re-procured for September 2019. Transition plan for 2018/19 with clear agreed milestones. Adherence to re-procurement timelines and milestones	As per transition plan and procurement plan	**September 2019** The transition and new contract arrangements were successfully implemented on time. Further refinements will be undertaken during this term working with schools and contractors. This action is complete and will be removed next time
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: Chief Finance Officer	
			Portfolio: Resources	
Inherent Score: CI	Target Residual Score: DI		Last Review: December 2019	Current Residual Score: CI

	Score DI		
Threat / Inherent Risk 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. When building defences against malware, it is recommended that mitigations are developed in each of the following three layers: Layer 1: preventing malicious code from being delivered to devices Layer 2: preventing malicious code from being executed on devices Layer 3: increasing resilience to infection, and to enable rapid response should an infection occur		**Triggers** • Cyber security incident leading to partial or total loss of system integrity **Consequence** • Reduced service delivery across multiple departments over extended period • Data Leaks • Financial loss • Reputational damage	
Current Residual Risk 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. 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.	Score CI	**Target Residual Risk** 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. 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.	Score D1

MITIGATION				
Ref: Action	**Lead Officer**	**Desired Outcome / Expected Output**	**Milestones**	**Progress update**
SR 37.01 Secure configuration: Remove or disable unnecessary functionality from systems, and to quickly fix known vulnerabilities.	Head of ICT	Patch Management regime in place to treat known vulnerabilities	Certified PSN compliance – April 2019	**DECEMBER 2019** ICT Network & Cyber Security Manager now in post to focus on secure configurations, Network security and managing user privileges.
SR 37.02 Network security: Create and implement policies and appropriate architectural and technical responses, thereby reducing the chances of attacks succeeding	Head of ICT	Network policies in place to prevent attacks	Certified PSN compliance – April 2019	
SR 37.03 Managing user privileges: All users should be provided with a reasonable (but minimal) level of system privileges and rights needed for their role. The granting of highly elevated system privileges should be carefully controlled and managed.	Head of ICT	User policies in place to ensure system privileges meet role requirements	Certified PSN compliance – April 2019	
SR 37.04 User education and awareness: Users have a critical role to play in their organisation's security and so it's important that security rules and the technology provided enable users to do their job as well as help keep the organisation secure. This can be supported by a systematic delivery of awareness programmes and training that deliver security expertise as well as helping to establish a security-conscious culture	Head of ICT	Information and cyber security training available to all system users. Staff induction references cyber security risks and user responsibilities for risk treatment	Certified PSN compliance – April 2019 Bid for funds against LGA cyber security budget	**DECEMBER 2019** The ICT Network & Cyber Security Manager is working with the Senior Workforce Development officer to implement an elearning/MetaCompliance system for use education and awareness following the success of the Kent Connects funding bid.
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	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	**DECEMBER 2019** Incident management processes were tested following a potential issue with Lagan forms. The ICT Management Team worked closely with the Information Governance Team to produce a

resilience, support business continuity, improve customer and stakeholder confidence and potentially reduce any impact.				response for the ICO. Due to the quality of the response no further action was necessary.
SR 37.06 Malware prevention: Malicious software, or malware is an umbrella term to cover any code or content that could have a malicious, undesirable impact on systems. Any exchange of information carries with it a degree of risk that malware might be exchanged, which could seriously impact your systems and services. The risk may be reduced by developing and implementing appropriate anti-malware policies as part of an overall 'defence in depth' approach.	Head of ICT	Policies in place to monitor and capture known malicious code.	Certified PSN compliance – April 2019	**DECEMBER 2019** Malware protection systems have been reviewed and found to be up to date and effective.
SR 37.07 Monitoring: System monitoring provides a capability that aims to detect actual or attempted attacks on systems and business services. Good monitoring is essential in order to effectively respond to attacks. In addition, monitoring allows you to ensure that systems are being used appropriately in accordance with organisational policies. Monitoring is often a key capability needed to comply with legal or regulatory requirements	Head of ICT	Security Incident and event management (SIEM) systems in place.	Certified PSN compliance – April 2019 Bid for funds against LGA cyber security budget.	**DECEMBER 2019** The ICT Network & Cyber Security Manager is working with the Senior Workforce Development officer to implement an elearning/MetaCompliance system for education and awareness following the success of the Kent Connects funding bid.
SR 37.08 Removable media controls: Removable media provide a common route for the introduction of malware and the accidental or deliberate export of sensitive data. You should be clear about the business need to use removable media and apply appropriate security controls to its use.	Head of ICT	Removable media policies in place with security controls on user devices	Certified PSN compliance – April 2019	**DECEMBER 2019** Reviewed on 23 December 2019 no update required. Certification complete January 2019. Reaccreditation required January 2020

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.	Head of ICT	Policies in place to ensure mobile working devices are managed and monitored for security breaches. Two factor authentication (2FA) policies in place to manage remote access to systems	Certified PSN compliance – April 2019	DECEMBER 2019 Reviewed on 23 December 2019 no update required. Certification complete January 2019. Reaccreditation required January 2020

Opportunities and the way forward

Work commenced in preparing for the pre-requisites to obtain Cyber Essential Plus accreditation. Due to the moratorium this work has been paused as it is not an essential requirement to obtain this accreditation, however the work in improving cyber security has continued. This position will be reviewed after April 2020.

The ICT department has undergone a staffing restructure, which has created a senior Range 7 "ICT Network & Cyber Security Manager" post that has specific responsibilities for the security of the network, overseeing user privileges & security policies, and user education and awareness

Corporate Risk: SR17 Delivering regeneration		Risk Owner: Director of RCET and Deputy Chief Executive	
		Portfolio: Inward Investment, Strategic Regeneration and Partnerships	
Inherent Score: BII	Target Residual Score: DII	Last Review: December 2019	Current Residual Score: CII

Threat / Inherent Risk	Score	Trigger
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. There are challenges for the provision and maintenance of effective infrastructure. Particular areas of concern are flood protection, highways, health and water capacity. It is vital the benefits are felt by the population of Medway, so that the new jobs are not only filled by people from outside the area, and trends of commuting out are addressed. Economic uncertainty could delay regeneration and growth, impacting on strategic decisions and inward investment.	BII	• The Council fails to deliver its economic, skills and infrastructure regeneration programme. • House/property building companies start to delay developments. • Potential lack of companies wanting to locate in Medway. **Consequence** • Regeneration projects not completed. • Potential damage to Council's reputation. • Not able to meet member, government and the public's expectations. • Deteriorating physical and infrastructure assets. • Investment wasted. • Young people are not catered for in the 'new world'. • Low skills base among some residents remains. • Disconnect between skills and employment opportunities. • Maintenance of low aspiration culture.

| | | | | • Increased commuting and pressure on transportation. |
| | | | | • Negative impact on community cohesion. |

Current Residual Risk	**Score**	**Target Residual Risk**	**Score**
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. 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.	CII	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 *impact* and so the focus must be on reducing the *likelihood* of failure to a more tolerable level.	DII

Mitigation

Ref: Action	**Lead Officer**	**Desired Outcome / Expected Output**	**Milestones**	**Progress update**
SR 17.01: Outline infrastructure needs identified.	Director of RCET	Identification of inward investment priorities. Progressing key regeneration sites and infrastructure plan jointly with KCC. Production of Infrastructure Delivery Plan (IDP) to support Local Plan.	Secure funding 20 year development programme Preparation of IDP to support submission of Local Plan – December 2019	**DECEMBER 2019** Medway's Housing Infrastructure Fund (HIF) bid was approved by central government (MHCLG) in November 2019 £170m of secured funding will support the development of rail, road, education and ancillary infrastructure to unlock the development of up to 10,600 homes and 30,000 construction-related jobs on the peninsula. The Council continued to progress essential design works for elements of the HIF bid whilst waiting for the overdue decision from MHCLG, so we are on track for delivery to original timescale. 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, with a final award decision expected in February 2020. 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. Working in partnership with the University of Kent and Chatham Historic Dockyard Trust we are supporting the transformation of the former Police Section House at the Interface Land into *the Docking*

				Station – a cultural and creative industries hub, supporting education and workspace provision.
SR 17.02: Homes England) alerted to the impact of lack of funding and dialogue opened with External Partners.	Director of RCET	Homes England confirm any funding commitment to projects and plans for their sites. Funding identified to continue regeneration.	Regeneration projects agreed with Members	**DECEMBER 2019** Medway's Housing Infrastructure Fund (HIF) bid was approved by central government (MHCLG) in November 2019 170m of secured funding will support the development of rail, road, education and other infrastructure to unlock the development of up to 10,600 homes and 30,000 construction-related jobs on the peninsula. The Council continued to progress essential design works for elements of the HIF bid whilst waiting for the overdue decision from MHCLG, so we are on track for delivery to original timescale. There is a dedicated External Investment Officer in the Regeneration Delivery Team, and a virtual External Investment Working Group with cross-service membership, which identifies funding opportunities and prioritises bids based on Member and strategic priorities. This is reflected in a pipeline list of projects.
SR 17.03: Regular meetings with stakeholders including developers to lever in external funding and bring forward transformational programmes.	Director of RCET	External financial arrangements to fund transformational programmes and deliver plans that are implemented on time and to budget. Investors come forward for regeneration sites.	As detailed in individual delivery plans.	**DECEMBER 2019** Medway's Housing Infrastructure Fund (HIF) bid was approved by central government (MHCLG) in November 2019 £170m of secured funding will support the development of rail, road, education and ancillary infrastructure to unlock the development of up to 10,600 homes and 30,000 construction-related jobs on the peninsula. The Council continued to progress essential design works for elements of the HIF bid whilst waiting for the overdue decision from MHCLG, so we are on track for delivery to original timescale. External stakeholder groups, including developers, have been established for the Future High Streets Fund Chatham projects (supported by a £150K development grant) and the High Streets Heritage Action Zone scheme, which would together deliver c. £20m of town centre / High Street improvements in Chatham and Rochester. There is a dedicated External Investment Officer in the Regeneration Delivery Team, and a virtual External Investment Working Group

				with cross-service membership, which identifies funding opportunities and prioritises bids based on Member and strategic priorities. This is reflected in a pipeline list of projects.
SR 17.04: Working with the Local Enterprise Partnership to attract funds to Medway.	Director of RCET	External financial arrangements to fund transformational programmes and deliver plans that are implemented on time and to budget. Create and protect long-term jobs in the private sector, and programmes which will deliver sustainable jobs. <u>Growing Places Fund (GPF):</u> £4.4m Rochester Riverside; £2.99m Chatham Waterfront. £650K Innovation Park Medway £41.7m Local Growth Funding from the Local Enterprise Partnership.	As detailed in individual delivery plans.	**DECEMBER 2019** Medway has made successful bid submissions to SELEP for nine LGF projects, totalling £41.7m across four bidding rounds. This includes the April 2019 allocation of £1.5m of LGF3b funding to the Innovation Park Medway (IPM). A decision regarding full award is expected in February 2020. 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. An additional GPF application for over £1m for Britton Farm Mall in Gillingham was submitted in October 2019, and we await next steps. 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. The funding landscape post-LGF funding remains unclear.
SR17.05: Working towards the adoption of the new Medway Local Plan.	Director of RCET	New Local Plan and Planning Policy Guidance adopted to guide Medway's sustainable growth. To prepare the Medway Local Plan and as outlined in the Local Development Scheme published August 2019	Publication of Draft Local Plan 2020 Independent Examination of plan - 2020	**DECEMBER 2019** Reviewed in December 2019 no update required. Working to publication of draft Local Plan with proposed development allocations and policies to manage Medway's growth. Strategy supported by comprehensive evidence base and assessment processes to meet tests of independent Examination. Joint work on infrastructure planning with HIF project team.
SR17.06: To seek additional external funding opportunities.	Assistant Director Physical and Cultural Regeneration	Ensuring Medway's Regeneration programme is delivered. Additional funding streams identified and secured.	Secure funding for Council owned sites.	**DECEMBER 2019** Our Design Programme to unlock up to £1.6m of Historic England funding for Chatham Intra / Heritage Quarter was submitted in draft on 6 December, and will be submitted in final form on 20 December. 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.
				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.
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.	**DECEMBER 2019** Medway's Housing Infrastructure Fund (HIF) bid was approved by central government (MHCLG) in November 2019 £170m of secured funding will support the development of rail, road, education and ancillary infrastructure to unlock the development of up to 10,600 homes and 30,000 construction-related jobs on the peninsula. The Council continued to progress essential design works for elements of the HIF bid whilst waiting for the overdue decision from MHCLG, so we are on track for delivery to original timescale.

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: SR26 Non-delivery of Children's Services Improvement		Risk Owner: Director of People – Children And Adults Services	
		Portfolio: Children's Services (Lead Member)	
Inherent Score: AII	**Target Residual Score: DIII**	**Last Review: December 2019**	**Current Residual Score: AII**
Threat / Inherent Risk We aspire to deliver good and outstanding services that keep children and young people safe and give them the right help, at the right time in their lives. In doing this, we will show strong leadership, we will challenge performance, we will ensure the right level of resources are allocated and used efficiently, and we will build a culture of continuous reflection and improvement. However during Ofsted's recent inspection of our services it found that we were not providing these outcomes to a satisfactory level. Our Children's Services Improvement Action Plan has been	**Score** AII	**Trigger** Non-delivery of appropriate and rapid enough improvement following the poor Ofsted inspection rating. **Consequence** • The Council loses control of the service. The Commissioner, in cooperation with the DfE, agrees an alternative delivery model and structure such as Children's Services being delivered by a neighbour	

developed in response to the formal recommendations and improvement areas highlighted by Ofsted during their 'Inspection of Local Authority Children's Services (ILAC) which took place from 8 July 2019 to 26 July 2019. This action plan sets out to ensure the transformation of our social care services for children, young people and their families from inadequate, to good quality. Improving the quality of services to children so they can thrive in our community, be healthy and learn well as outlined in our Children and Young People's Plan.

This is a key corporate priority and we are fully committed to working with our partners to deliver this plan and achieve more positive outcomes for children and young people in Medway. It is also intended to demonstrate how the Council can respond to the requirements of the Statutory Notice, issued by the Secretary of State in August 2019, which appointed a Commissioner to review and report on whether the Council has the capacity and capability to improve and sustain improvement to its services.

.

Current Residual Risk	**Score**	**Target Residual Risk**	**Score**
The commissioner's report has been published, which recommends a further six months of commissioner intervention pending final decision. .	AII	Improvement is made at pace and is deemed to be sustainable in order that control of the service remains in control of the council.	DIII

Mitigation				
Ref: Action	**Lead Officer**	**Desired Outcome / Expected Output**	**Milestones**	**Progress update**
SR26.09 Improve quality of practice	Interim Assistant Director – Children's Social Care	Children say they and their families get the help they need at the right time, that supports them to stay safely with	Embed core social work techniques and establish Signs of Safety as a practice	**December 2019** The move from the current, inadequate service to an improving service will be achieved embedding a strong and evidenced-based social work practice model (Signs of Safety). We are in the process of commissioning a whole-service training programme to start in February. This is being part-

		their family.	framework, with evidence of purposeful interventions	funded by our Teaching Partnership with Kent. The MOSAIC upgrade will facilitate case-recording in line with Signs of Safety as practice model.
		If they need to live away from their family, they have carers who can offer them a safe, stable and supportive home	Improve quality and timeliness of assessments	
		Young people leaving care say they have a choice of places to live, they can access training or education and know where to go for help and advice about their physical and mental health.	Improve response to risk associated with neglect, domestic abuse and exploitation	
			Improve tracking of PLO and proceedings to achieve timely legal outcomes to support plans, with no unnecessary delay	
			Improve permanency planning for all children in care	
			Improve access to health, education, accommodation and training for care leavers	
			Ensure fostering service is	

			developed to fully meet the needs of Medway's children, and meets all statutory responsibilities	
SR26.10 Capability and capacity of our workforce	Interim Assistant Director – Children's Social Care	Children say they have a social worker who is committed to them, who they trust to do their job well, who listens and responds to their views, and carries through their plan	Increase staffing establishment to adequately meet the demands of the service

Reduce reliance on agency personnel

Achieve manageable caseloads

Ensure all practitioners and managers understand the expectations of their roles and are equipped to meet them | **December 2019**
Within the Ofsted report and Commissioner's findings, the current structure of Children's Social Care has been highlighted as not fit for purpose. Work has begun on the creation of a new structure implemented in phases to transform Children's Social Care and make it overly more robust.

The total number of new starts across Safeguarding and First Response for 2019/20 is 37 compared to 32 for 2018/19. The investment in advertising and attendance at social work events continues to promote Medway as an employer.

The total number of qualified social workers that have left Children Services for April 2019 to December is 28 compared to 30 for April 2018 to March 2019.

The two main contributory factors impacting on staff turnover are volume of caseloads and work life balance.

To date, there is an overall net gain of 12 staff across Safeguarding and First Response for April 2019 to December 2019. |
| SR 26.11 Ensuring Effective leadership and management | Director of People – Children and Adults | Children and their families say that they get the help they need at the right time, and they feel that their views are respected, listened to and influence the plans that are made for them | Senior leaders across the Council, and partner organisations, as well as Councillors, know how they are contributing towards improving frontline practice and supporting | **January 2020.**
Reviewed. No update required. |

		They understand why they have a social worker and know what the objectives are of any work we do with them and their family	better outcomes for children and families. Resources are committed to support sustained improvement Performance reporting which is focused on giving Members and senior leaders the right information to be able to monitor the quality of services and take remedial action when required. Leadership and governance which creates a culture of openness and transparency, with positive two-way communication Supervision of practice which is reflective and purposeful Improving the quality of services for children is a	

			priority in the Improvement Plan. Senior Leaders and elected members are aware of the improvements required. Supervision is taking place and is recorded	
SR 26.12 Quality Assurance and Performance Management	Director of People – Children and Adults	Children say they can share their views about the service they receive and understand that they will be taken seriously.	Regular programme of case audit Regular performance reporting Performance meetings which involve front line managers, HR, performance and QA Approach to case audit to improve understanding of impact on child Consistency in audit grading – shared understanding of what good looks like	**January 2020.** Reviewed. No update required.

			Clear link between audit findings, learning and development activity and practice outcomes Accessible performance reporting, which support managers to exercise their responsibilities and understand the story behind the data	
SR26.13 Partnerships and engagement	Interim Assistant Director – Children's Social Care	Children and young people understand that they or their representatives can contribute to service planning and to staff recruitment, and their contributions will have an impact on how decisions are made	Partners share responsibility for practice improvement across children's services Staff feel engaged and able to contribute to plans for service improvement The culture of the organisation supports transparent decision making, respectful challenge and values learning	**December 2019** Medway Safeguarding Children's Partnership (MSCP) is now in place and working to a shared set of priorities Partners have been engaged in the Transformation programme and other strategic boards

Opportunities and the way forward				
Recruiting a permanent AD and Heads of Service				
Realignment of the service and increased capacity				
Partners in Practice – Essex, Oxfordshire and North Yorkshire and Bracknell Forest				

Corporate Risk: SR27 Local Authority's ongoing relationship with all schools and academies		Risk Owner: Director of Children and Adults	
		Portfolios: Children's Services (Lead Member) and Education and Schools	
Inherent Score: BII	**Target Residual Score: CIII**	**Last Review: December 2019**	**Current Residual Score: CIII**

Threat / Inherent Risk	Score	Trigger
Councils are accountable for the outcome of performance of maintained schools but have reducing levers to drive action and change. In academies the only lever is to refer the school to the Regional Schools Commissioner. In maintained schools, poor inspection judgements or coasting schools are expected to be subject to intervention by the Regional Schools Commissioner.	CII	• 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. **Consequence** • 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.

Current Residual Risk	Score	Target Residual Risk	Score
A plan of school improvement visits to target schools at risk of going into a category has proved successful. There remain key areas where further work and support is required. A funded programme to support targeted primary schools in respect of inclusion. Close liaison between internal Council departments.	CII	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.	CIII

MITIGATION				
Ref: Action	**Lead Officer**	**Desired Outcome: Expected Output**	**Milestones**	**Progress update**
SR 27.01: Analysis of school data is used to agree a school partnership rating so that appropriate support can be put in place. Analysis of academy data is used to refer an academy to the regional Schools Commissioner	Head of Education	Schools results in line with or exceed nationally expected progress measures. School Challenge and Improvement Team support schools to identify actions needed to improve pupil progress. Data shows progress to be in line with similar schools nationally and then to be in upper quartile. Implementation of School Improvement Strategy.	Number of schools below floor threshold reduces Number of schools in an OFSTED category reduces and remains low. Number of coasting schools is low	**December 2019** 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.
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.	**December 2019** 88.3% of all pupils are attending a good school in Medway. The breakdown is for primary schools is 87.2% and for secondary, 88.9% are attending a good school.

Opportunities and the way forward
Closer working with education partners to improve relationships so that we can ensure positive outcomes are achieved for children and young people in Medway

Corporate Risk: SR39 Lack of resources to keep young people with SEND safe due to increasing demand and complexity of need pressures NEW RISK				Risk Owner: Director of Children and Adults		
				Portfolios: Children's Services		
Inherent Score: BII		Target Residual Score: DIII		Last Review: December 2019	Current Residual Score: BII	
Threat / Inherent Risk		Score	**Triggers**			
Pressures from increasing demand and complexity of special educational need and disability place extreme pressure on High Needs Budget, meaning that we are prevented from meeting our statutory educational duties for children and young people aged 0-25 who have SEND, and therefore cannot ensure that this vulnerable cohort of children are safe.		BII	The Council does not have enough resources to match increasing demand and complexity of need.			
			Consequence			
			• Unable to provide our statutory education duties for children and young people aged 0-25 who have SEND			
			• Poorer outcomes for children and young people			
			• Adverse effect on assessments - Increased thresholds of application for children applying for assistance			
			• Budget pressures with consequences across the Council			
			• Impact on statutory responsibilities and regulatory judgement			
			• Money drawn from other services			
			• Cost spiral			
			• Adverse effect on staff morale affected			
Current Residual Risk		Score	**Target Residual Risk**			Score
The number of EHCPs has been rising over time (42% since 2015). Medway has a higher rate of EHCP per 10k than national in all age groups over 11 years. The increase in numbers and complexity of need continues to be a pressure on the Council with the budgets currently excessively overspent. The Council has submitted a budget recovery plan to rectify and meetings are set up with the ESFA to review.		BII	Increased funding from central government will work towards removing the risk to vulnerable children and young people with SEND. A review is currently taking place.			DIII
Mitigation						
Ref: Action	**Lead Officer**	**Desired Outcome: Expected Output**		**Milestones**	**Progress update**	
SR 39.01: SEN budgets are being closely monitored and spend is being reviewed more robustly.	AD Education and SEND Head of Integrated				**December 2019** SEN budgets have seen unprecedented growth. A financial recovery plan that controls spend at pace and provides oversight to all placements and contracts. Meetings to review the Councils deficit recovery plan	

	Disability				with the ESFA gave been arranged.
SR 39.02: Work with government departments re. budget deficits.	Head of Integrated Disability				**December 2019** Regular meetings have been organised with central government colleagues to enable conversations around funding and deliverability of our submitted plan.
SR 39.03: Work to improve the service following the revisit by Ofsted and the CQC.	Head of Integrated Disability				**December 2019** A revisit of the SEN service was completed in late 2019. We are currently awaiting the outcome of our progress against our written statement of action.
SR 39.04: Supporting Medway's schools to be more inclusive	AD of Education and SEND				**December 2019** School Improvement and Integrated Disability are working collaboratively with Education partners in schools to promote inclusivity and encourage opportunities for children and young people with SEND to be educated alongside their peers in mainstream education where appropriate.
SR 39.05: Working with the Clinical Commissioning Group to ensure NHS funding is provided in all appropriate cases	AD Education and SEND Head of Integrated Disability				**December 2019** Work is ongoing through a robust partnership with health colleagues at the Clinical Commissioning Group to ensure that NHS funding is provided in all appropriate cases.
SR 39.06: Reviewing high cost placements to ensure the best packages are provided in the most economical way	Head of Integrated Disability				**December 2019** Regular reviews are undertaken in-house by the team.
SR 39.07: The creation of additional SEND provision locally	AD Education and SEND Head of Integrated Disability				**December 2019** Work is underway to develop education provision for children and young people with SEND locally.

Corporate Risk: SR09B Keeping vulnerable adolescents safe			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: DIII	Last Review: December 2019	Current Residual Score: BII

Threat / Inherent Risk	Score BII	Trigger
There are a number of different factors affecting vulnerable adolescents in Medway. These include CSE, Gang Culture, Offending and Re-offending, growing up in the care system without proper transition to adulthood. The Council as a Corporate Parent has a responsibility to those within its care, but ultimately a responsibility to ensure that Medway is an environment where adolescents grow up in a safe place free from these adverse situations.		• Rising rates of reoffending within 16-18-year olds • Increasing rates of young people entering care in adolescence • Lack of preventative services and earlier interventions **Consequence** • Higher levels of neglect and safeguarding incidents in Medway • At risk of joining gang culture • At risk of offending and jail • Stigma of being a care leaver and effects of lower education levels

Current Residual Risk	Score BII	Target Residual Risk	Score DIII
Currently Domestic Abuse and Gang culture are led on a Kent and Medway footprint. These are triaged at the Front Door and CSE cases discussed at MASE. The Youth Justice Partnership, chaired by the Director of Public Health, have drafted a strategic plan outlining the period 2020-2023. It has been coproduced with a range of stakeholders, including the Youth Justice Partnership Board (YJPB) members and the Young People's Advisory Group (YPAG). The content and specific actions in the plan have also been informed by a review of national research and evidence of best practice taken from other comparable Youth Justice Partnership Boards around the country.		Decreasing levels of reoffending. Reduced prevalence of gangs in Medway. Decreasing cases of domestic violence and CSE concerning adolescents.	

MITIGATION				
Ref: Action	**Lead Officer**	**Desired Outcome: Expected Output**	**Milestones**	**Progress update**
SR 09b.10: Ensuring early intervention to address risk and vulnerability factors to build upon strengths preventing young people going from being at risk of offending to becoming established offenders.	Director of Public Health Head of Children's Commissioning and Youth Justice	The rate of first-time entrants to the criminal justice system declines. The rate of NFA reduces. Early Help referral increase from the Police (Police complete an Early Help Assessments) and reduction in safeguarding referrals from the Police. Increase referral into NELFT and improved access and intervention pathways Schools report less fixed term exclusions, improved attendance and behaviour of those students identified as at greatest likelihood of offending. Fewer looked after children and care leavers will become involved in the criminal justice system. Reduction in young people that are NEET.		**January 2020.** Reviewed. No update required.
SR 09b.11 Prevent and reduce domestic abuse across communities and ensure that when Young People experience abuse, they can access the help and services	Director of Public Health Interim Assistant Director			**January 2020.** Reviewed. No update required.

they need	Children Social Care			
SR 09b.12: Protect and prevent young people from becoming involved with gangs; to tackle gang-related harm and youth violence; and to pursue effective enforcement action to deal with those embroiled in gang activities.	Director of Public Health Interim Assistant Director Children Social Care			**January 2020.** Reviewed. No update required.
SR 09b.13 Improve access to health, education, accommodation and training for care leavers	Interim Assistant Director Children Social Care	Increase in percentage of care leavers in EET Increase in % of care leavers living in appropriate accommodation	Increase in number of care leavers undertaking apprenticeships or employed by Council and partners Implement a rolling programme of apprenticeships and employment opportunities for care leavers Work with commissioning and housing colleagues to source and oversee appropriate accommodation for care leavers to ensure they can live independently if they are ready to do so.	**January 2020.** Reviewed. No update required.

			Develop a separate care leavers service and review the operational model, considering a 16+ team	
Opportunities and the way forward :				
A revisit of the SEN service was completed in late 2019. We are currently awaiting the outcome of our progress against our written statement of action.				