

## Medway Council Strategic Risk Register - Quarter 2 2020/21

Ref	Page	Risk	Owner	Inherent Risk Score	Current Risk Score	Target Risk Score	Move ment (since last qtr)	Definition (current score) (L-likelihood) (I-impact)	Council Priority/ Ways of Working (WOW)	O&S Com mittee
SR09B	4	Keeping vulnerable adolescents safe	Director of People – C&A	<b>BII</b>	<b>BII</b>	<b>DIII</b>	→	L - high I - critical	People	CYP
SR26	9	Non-delivery of Children's Services Improvement	Director of People – C&A	<b>AII</b>	<b>AII</b>	<b>DIII</b>	→	L – very high I - critical	People	CYP
SR39	10	Lack of resources to keep young people with SEND safe due to increasing demand and complexity of need pressures	Director of People – C&A	<b>BII</b>	<b>BII</b>	<b>DIII</b>	→	L - high I - critical	People	CYP
SRO3B	13	Finances	Chief Finance Officer	<b>AI</b>	<b>AI</b>	<b>CIII</b>	→	L – very high I - catastrophic	All/WOW	BS
SR46	17	Medway's Economic Recovery from Covid19	Assistant Director Regeneration (Recovery Lead Officer for Medway Council)	<b>BII</b>	<b>BII</b>	<b>CII</b>	→	L - high I - critical	All/WOW	BS
SR32	22	Data and information	Chief Legal Officer	<b>BII</b>	<b>CII</b>	<b>DIII</b>	→	L - significant I - critical	All/WOW	BS
SR36	25	Alternative service delivery models	Chief Legal Officer, Chief Finance Officer	<b>BII</b>	<b>BIII</b>	<b>CIII</b>	→	L - high I - Marginal	All/WOW	BS
SR37	29	Cyber Security	Chief Finance Officer	<b>CI</b>	<b>CI</b>	<b>CI</b>	→	L - significant I – Catastrophic	All/WOW	BS

SR02	36	Business continuity and emergency planning	Director of Place Chief Finance Officer	<b>C1</b>	<b>DII</b>	<b>DII</b>	→	L - low I - critical	All/WOW	BS
SR09A		Changing Demographics of Older People and Working Age Adults	Director of People – C&A	<b>A1</b>	<b>BII</b>	<b>DIII</b>	→	L - high I - critical	People	HASC
SR17		Delivering regeneration	Director of Place	<b>BII</b>	<b>BII</b>	<b>CII</b>	→	L - high I - critical	Growth	RCE
SR35		Homelessness	AD Physical and Cultural Regeneration	<b>BII</b>	<b>CIII</b>	<b>DIII</b>	→	L - significant I - marginal	Growth	BS
SR47 <b>NEW</b>		Climate Change	AD Frontline Services	<b>AII</b>	<b>AII</b>	<b>DIII</b>	n/a	L – very high I - critical	Place	RCE

## Strategic Risk Profile

### Key

Low risk/priority	Green
Medium risk/priority	Amber
High risk/priority	Red

	Negligible impact IV	Marginal impact III	Critical impact II	Catastrophic impact I
Very high likelihood A	Amber	Red	Red 26, 47	Red 03B
High likelihood B	Amber	Amber 36	Red 09B, 39, 17, 09A 46	Red
Significant likelihood C	Green	Amber 35	Red 32, 48	Red 37
Low likelihood D	Green	Amber	Amber 02	Amber
Very low likelihood E	Green	Green	Amber	Amber
Almost impossible F	Green	Green	Amber	Amber

KEY | update

**STRATEGIC RISK: SR09B Keeping vulnerable adolescents safe****RISK OWNER: Director of People – Children and Adults Services****PORTFOLIO: Children's Services (Lead Member) and Education and Schools****Current Residual Risk Score BII (Likelihood – high. Impact – catastrophic)**

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.

**Inherent Risk Score BII**

There are several 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.

**Target Residual Risk Score DIII**

Decreasing levels of reoffending.

Reduced prevalence of gangs in Medway.

Decreasing cases of domestic violence and CSE concerning adolescents.

**Trigger**

- 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

**Opportunities and the way forward**

**Strategic Risk : SR09B Keeping vulnerable adolescents safe Mitigating Action 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.

**Lead Officer** Director of Public Health. Head of Children's Commissioning and Youth Justice

**Desired Outcome: Expected Output**

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.

**September 2020**

FTE and Reoffending rates remain very positive but we anticipate now that courts are now back to business as usual, we may see a slight increase with outstanding backlog. We will have a better sense in Q3 of impact.

We have commissioned a service (Project Salus) to deliver targeted work to young people at risk of offending specifically around serious youth violence, gangs and exploitation.

We have been awarded resources through our LTP to develop specific mental health and emotional wellbeing roles within the YOT and adolescent service.

Medway YOT is also working with the Essex Partnership Foundation Trust around the Psychology model supporting trauma informed case formulation work.

Medway YOT also working with the Youth Service on a programme delivered for the YOT and adolescent service around ETE.

Resettlement arrangements and plans working well. Further review needed.

Multi Agency Case audit taking place on H case for partnership learning and improvement.

**Positives:**

FTE down

Reoffending down

Custody down

LAC down

**Strategic Risk : SR09B Keeping vulnerable adolescents safe Mitigating Action 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.

NFA down  
OOCD up

**Challenges:**

ETE up (Wicked issue)  
Joint plans with CS

**Strategic Risk SR09B Keeping vulnerable adolescents safe Mitigating Action 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 they need.

**Lead Officer** Director of Public Health. Interim Assistant Director Children Social Care Public Health. Interim Assistant Director Children Social Care

**Desired Outcome: Expected Output**

**Progress update. September 2020**

Commissioned service saw a significant increase in referrals post lockdown. Whilst this was anticipated and planned for, the numbers were higher than expected. We have provided additional investment for temporary posts to meet the needs of victims.

The programmes delivered by Choices (commissioned service) targeted at CYP at risk of DA or CSE (Loves me, Loves me Not and Guiding Lights) have not been delivered during COVID pandemic due to school closures. Service is still experiencing reluctance from schools to deliver these classroom-based interventions citing lack of space and infection control concerns.

PathWay which is a PCC funded therapeutic intervention for CYP who have lived with DA continues to operate

**Strategic Risk SR09B Keeping vulnerable adolescents safe Mitigating Action 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.

**Lead Officer** Director of Public Health. Interim Assistant Director Children Social Care

**Desired Outcome: Expected Output**

**Progress update. September 2020**

**Strategic Risk SR09B Keeping vulnerable adolescents safe Mitigating Action 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.

Work on developing and embedding the adolescent service continues.

### July 2020

Alongside the commissioned edge of care service, the adolescent service is being developed. Both teams are currently working with vulnerable young people between 11-16 yrs.

The adolescent service is a multi-disciplinary team made up of social workers, youth mentors, early help workers and are developing working relationships with partners. The team will deliver intensive interventions designed to safeguard and protect vulnerable young people facing a range of difficulties and challenges.

**Strategic Risk SR09B Keeping vulnerable adolescents safe Mitigating Action SR 09b.13** Improve access to health, education, accommodation and training for care leavers

**Lead Officer** Interim Assistant Director Children Social Care

### Desired Outcome: Expected Output

Increase in percentage of care leavers in EET

Increase in % of care leavers living in appropriate accommodation

### Milestones:

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.

Develop a separate care leavers service and review the operational model, considering a 16+ team

### September 2020

The Leaving Care Service is now embedded within the Children's Social Care Structure with two Teams in place. Most young people are in suitable accommodation apart from a small number who are in prisons. We do not have any young people in Bed & Breakfast accommodations.

Young People in Education, Training and Employment is on the rise although the Coronavirus pandemic has been a challenge for everyone. The Leaving Care Team is operating an Online Facebook Job Club where information, advice and jobs are advertised for young people to apply. The Leaving Care Team work closely with Medway Virtual School Team. Personal Education Plans are encouraged. We work closely with Colleges, Employment Support and Young Lives Foundations and the Apprenticeship Management.

**Strategic Risk SR09B Keeping vulnerable adolescents safe Mitigating Action SR 09b.13** Improve access to health, education, accommodation and training for care leavers

We are currently working with Daniel Ratcliff on organising an informative event for businesses to learn more about how businesses can provide opportunities and support Medway's Care Experienced Adults (Care Leavers). Also to discover how business can make a difference and benefit from the Chancellor's employment initiatives. To give someone a chance and unearth undiscovered talents. We are hoping this event can take place on 28<sup>th</sup> October 2020. This event will include training and information in the morning, delivered virtually to businesses. Details will be shared around how businesses can benefit from:

- The Kickstarter Programme
- Traineeships
- Apprenticeships
- Available funding

The afternoon will be a virtual jobs fair, with young people given access to computers, to hold video interviews with employers. With a hope it will increase young people chances to get employment.

**Strategic Risk SR09B Keeping vulnerable adolescents safe Mitigating Action SR 09b.14** Manage latent Demand COVID19

**Lead Officer** Assistant Director – Children's Social Care & Early Help

**Desired Outcome: Expected Output**

As robust response to COVID19, the Council has the capacity and capability to improve and sustain improvement to its services

**Milestones:**

Service has capacity of workforce to meet increased and pent up demand – short and long term

**Progress Update. September 2020**

COVID spike has not materialized to date. Contacts and referrals have gone up since schools have returned but are all manageable and there are close working relationships with schools.

Additional commissioned external team is helping to ensure manageable caseloads.

**Strategic Risk SR09B Keeping vulnerable adolescents safe Mitigating Action SR 09b.15** Ensure sufficient Workforce Capacity

**Lead Officer** Assistant Director – Children's Social Care & Early Help

**Desired Outcome: Expected Output**

Recruitment and retention of staff, the Council has the capacity and capability to improve and sustain improvement to its services.



<b>Strategic Risk SR09B Keeping vulnerable adolescents safe Mitigating Action SR 09b.15</b> Ensure sufficient Workforce Capacity
<b>Milestones:</b> Workforce stabilised, agency staff and turnover of permanent staff reduced
<b>Progress Update. September 2020</b> The Workforce Development Strategy and supporting plan was presented at Children's Improvement Board. Emperor have been commissioned to take forward the rebranding of the recruitment campaign. Feedback will be given in other governance.

<b>STRATEGIC RISK: SR26 Non-delivery of Children's Services Improvement</b>
<b>RISK OWNER: Director of People – Children And Adults Services</b>
<b>PORTFOLIO: Children's Services (Lead Member)</b>
<b>Current Residual Risk Score All (Likelihood – very high. Impact – critical)</b>
The commissioner's first report was been published in December 2019, which recommended a further six months of commissioner intervention pending final decision. A further report from the commissioner to the Secretary of State will be made in July 2020
<b>Inherent Risk Score All</b> 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 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 and has recently been refreshed and updated to reflect the progress made and to set out the priorities for the coming year. 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.
<b>Target Residual Risk Score DIII</b> Improvement is made at pace and is deemed to be sustainable in order that control of the service remains in control of the council
<b>Trigger</b> Non-delivery of appropriate and rapid enough improvement following the poor Ofsted inspection rating.
<b>Consequence</b> 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
<b>Opportunities and the way forward</b>

**STRATEGIC RISK: SR26 Non-delivery of Children's Services Improvement**

Progressing into the next stage of the Improvement Plan

**Strategic Risk SR26 Non-delivery of Children's Services Improvement Mitigating Action SR26.14** Successful delivery of the Improvement Plan

**Lead Officer** Assistant Director – Children's Social Care & Early Help

**Desired Outcome: Expected Output**

The Council has improved the service to the level required by the Children's Commissioner, DfE and Ofsted

**Milestones**

Workforce stabilised, agency staff and turnover of permanent staff reduced

Performance indicators and audits show continuous improvement

Quality of intervention is consistently meeting standards

Partners working together to deliver on shared objectives for Medway's children

**Progress update. September 2020**

On the back of the successful monitoring visit, the improvement plan has been confirmed as correct and where improvements were recommended in the monitoring report letter, the plan has been changed. Currently there is a self-evaluation refresh underway.

**STRATEGIC RISK: SR39 ~~Lack of resources to keep young people with SEND safe due to increasing demand and complexity of need pressures~~ Financial Pressures on SEN Budgets**

**RISK OWNER:** Director of Children and Adults

**PORTFOLIO** Children's Services

**Current Residual Risk Score BII (Likelihood – high. Impact – critical)**

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.

**Inherent Risk Score BII**

Pressures from increasing demand and complexity of special educational need and disability place extreme financial pressure on High Needs Budget, which could result in us not meeting our statutory educational duties for children and young people aged 0-25 who have SEND.

**STRATEGIC RISK: SR39 ~~Lack of resources to keep young people with SEND safe due to increasing demand and complexity of need pressures~~ Financial Pressures on SEN Budgets**

**Target Residual Risk Score DIII**

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.

**Trigger**

The Council does not receive enough High Needs Budget 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

**Opportunities and the way forward**

**Strategic Risk SR39 Financial Pressures on SEN Budgets Mitigating Action SR 39.01:** SEN budgets are being closely monitored and spend is being reviewed more robustly.

**Lead Officer** AD Education and SEND. Head of Integrated Disability

**Desired Outcome: Expected Output**

**Progress update. September 2020**

The High Needs Budget Recovery Plan has been re-written and approved by members. Two main areas of focus are increasing the number of specialist and resource places in Medway and robustly applying EHCP criteria. HNBRP continues to be monitored by a Members Scrutiny Group and a High Needs Sub Group of Schools Forum

**Strategic Risk SR39 Financial Pressures on SEN Budgets Mitigating Action SR 39.03:** Work to improve the service following the revisit by Ofsted and the CQC.

**Lead Officer** Head of Integrated Disability

**Desired Outcome: Expected Output**

**Progress update. September 2020**

The Accelerated Progress Plan Monitoring Meeting took place in August 2020. The second monitoring meeting is planned for December 2020. Some actions have been delayed due to COVID but DfE and NHS England feedback is positive at present. SEND Core Group continues to monitor APP actions and this will report to the new Child-Friendly Medway Board.

**Strategic Risk SR39 Financial Pressures on SEN Budgets Mitigating Action SR 39.04:** Supporting Medway's schools to be more inclusive

**Lead Officer** AD Education and SEND.

**Desired Outcome: Expected Output**

**Progress update. September 2020**

Data analysis has been completed to identify schools that do not currently have the national levels of children with EHCPs. This information is being shared with schools. Medway Ordinarily Available document is in draft form.

**Strategic Risk SR39 Financial Pressures on SEN Budgets Mitigating Action SR 39.05:** Working with the Clinical Commissioning Group to ensure NHS funding is provided in all appropriate cases

**Lead Officer** AD Education and SEND. Head of Integrated Disability

**Desired Outcome: Expected Output**

**Progress update.**

**September 2020**

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.

**Strategic Risk SR39 Financial Pressures on SEN Budgets Mitigating Action SR 39.06:** Reviewing high cost placements to ensure the best packages are provided in the most economical way

**Lead Officer** Head of Integrated Disability

**Desired Outcome: Expected Output**

**Progress update. September 2020**

Consultant has been recruited to complete this work in October 2020

**Strategic Risk SR39 Financial Pressures on SEN Budgets Mitigating Action SR 39.07:** The creation of additional SEND provision locally

**Lead Officer** AD Education and SEND. Head of Integrated Disability

**Desired Outcome: Expected Output**

**Progress update. September 2020**

We have identified an additional 300 specialist school places in Medway and are nearing final agreement to commence building work. Invitation has gone out to all Chief Executives of secondary schools in Medway to opening resource provisions in their schools. It is hoped that we will achieve an additional 220 resource places

**Strategic Risk SR39 Financial Pressures on SEN Budgets Mitigating Action SR 39.08** Placeholder for lobbying the government mitigation

**Lead Officer** AD Education and SEND.

**Desired Outcome: Expected Output**

**Progress update. September 2020**

Every opportunity is being taken to share information and lobby with the DfE and EFSA regarding High Needs Budget deficit

**STRATEGIC RISK: SR03B FINANCES**

**RISK OWNER: CHIEF FINANCE OFFICER**

**STRATEGIC RISK: SR03B FINANCES****PORTFOLIO: LEADER'S****Current Residual Risk Score AI (Likelihood – very high. Impact – catastrophic)**

Demographic pressures in adult social care, children's care and SEND remain a significant issue, but this has been further exacerbated by the impact of the Covid-19 pandemic. The Government has moved swiftly to address the in-year pressures, both in terms of direct expenditure and losses of income, but it is still not certain that this will be enough. It has also put in place a generous package of support for businesses and vulnerable people, which for now has insulated the economy from the worst effects – business failure and unemployment. Whilst the Spending Review remains live, the Chancellor has indicated that there will be no Autumn Budget Statement, which will make effective financial planning all but impossible. Across the sector, many local authorities are highlighting the risk of Section 114 notices and against this very uncertain backdrop the residual risk remains at AI.

**Inherent Risk Score AI**

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.

**Target Residual Risk Score CIII**

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.

Ultimately the aim would be to get to a position where the MTFs, through robust strategic plans, presents a balanced budget year on year, protecting and increasing reserves and 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.

**Trigger**

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;

## STRATEGIC RISK: SR03B FINANCES

- Cutback in staffing on an already lean organisation;
- VFM Judgement;
- Negative local publicity;
- Damage to reputation.

### 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. The failure of Central Government to articulate how it intends to ensure the sustainability of local government has made this task virtually impossible, however the Finance Management Team continue to work closely with colleagues within the Planning and Regeneration teams, with a view to more accurately projecting future council tax and business rates. The Covid-19 pandemic is likely to cause far-reaching impacts, not least on the Council's financial sustainability and has exacerbated how challenging it is to project future resources, however it has also offered an opportunity and impetus to radically review the types of services we offer and the way we provide them.

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

**Strategic Risk SR03B Finances Mitigating Action SR03B.01:** Need to ensure effective response to the spending review, but also lobbying for greater local powers to raise revenues

**Lead Officer** Chief Finance Officer

### Desired Outcome: Expected Output

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

The Covid-19 crisis has made meaningful longer term planning impossible and so the sector continues to lobby for a meaningful long term spending review. Alas the Chancellor's decision not to deliver an Autumn Budget Statement is yet another blow to our financial planning process.

**Strategic Risk SR03B Finances Mitigating Action SR03B.02:** Align priorities and activity of the Council to resource availability through MTFS process

**Lead Officer** Corporate Management Team

### Desired Outcome: Expected Output

**Strategic Risk SR03B Finances Mitigating Action SR03B.02:** Align priorities and activity of the Council to resource availability through MTFS process

Robust financial planning and management, ensuring financial risks are identified and managed effectively

Identification and delivery of a range of savings and income generating initiatives

Co-ordinate responses with members, agree media campaign, solicit support from peer authorities

Balanced budget with resources aligned to priorities, delivery of VFM and savings to ensure financial sustainability in the medium-term

Unqualified VFM Judgement - adequacy of financial planning, effective budget control, balanced budget and adequacy of reserves

**Milestones**

Medium Term Financial Strategy in Nov

Capital and Revenue budget agreed by Council in February

**Progress update. September 2020**

Whilst still managing the Council's response to the pandemic, officers have also been working on recovery and it is very clear that the shape of Medway's economy and the way people work will be forever changed. The refresh of the Council Plan will focus on recovery over the next two years and presentation of the MTFS and Capital Strategy has been pushed back to November's Cabinet.

**Strategic Risk SR03B Finances Mitigating Action SR03B.03:** Create resources for investment priorities

**Lead Officer** Corporate Management Team

**Desired Outcome: Expected Output**

Track funding opportunities

Maximise capital receipts on asset disposal

Prudential borrowing

Revenue returns from investments and capital assets and appreciation in capital asset values

**Progress update. September 2020**

We have pushed back presentation of the Capital Strategy to Cabinet, alongside the MTFS in November. This will need to align with our Recovery Strategy, which at its heart will be investment in ICT, more decentralised working arrangements and a review of our operational property portfolio and our need for office accommodation in a post-Covid world.

**Strategic Risk SR03B Finances Mitigating Action SR03B.04:** Delivery of digital transformation programme

**Lead Officer** Transformation Board

**Desired Outcome: Expected Output**



**Strategic Risk SR03B Finances Mitigating Action SR03B.04: Delivery of digital transformation programme**

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

**Progress update. September 2020**

The significant pressures being experienced in both Children's and Adults Services represent the greatest risks to the Council's financial sustainability and so the Business Change Programme is being reprioritised to focus on improving processes, managing demand and reducing placement costs across Children's and Adults Social Care.

**STRATEGIC RISK: SR46 MEDWAY'S ECONOMIC RECOVERY FROM COVID-19**
**RISK OWNER: ASSISTANT DIRECTOR REGENERATION (RECOVERY LEAD OFFICER FOR MEDWAY COUNCIL)**
**PORTFOLIO: LEADER'S**
**Current Residual Risk Score BII (Likelihood – high. Impact – critical)**

While in many services the Council is still in response, focus is shifting towards an effective recovery. Strategic Planning is one of the three key workstreams in the Council's Strategic Recovery Plan, with a multi-agency cell for Medway's Economy established and working closely with the Kent Resilience Forum equivalent.

The council is delivering direct support for individuals and businesses as funded by the Government and continues to review delivery of core services where they can be of benefit to supporting the wider economy.

The Council continues to lobby the Government for further support for local authorities, individuals and businesses.

**Inherent Risk Score BII**

Mandatory closures and ongoing social distancing requirements have created in an exceptionally challenging trading environment, resulting in significantly reduced trade, business failure, rising unemployment and reduced levels of disposable income.

MHCLG stated throughout Covid-19 that they will support local authorities to deliver an effective response to Covid-19 and continue to provide core services and providing substantial packages of support for individuals, businesses and the public sector but may not continue such funding throughout the recovery. Income from Business Rates is a fundamental income stream to Medway Council; businesses failure to pay, or business collapse leaving void properties may significantly reduce income available for the Council, hampering its ability to deliver core services and support the wider economy successfully.

There is a risk of further outbreaks, which the Government has handed powers to manage to local authorities. The Council has developed a Local Outbreak Plan that may have to be mobilised and doing so would undoubtedly further impact on the Medway Economy.

Changes to working patterns and work locations may increase pressure on utility, digital and travel infrastructures.

## STRATEGIC RISK: SR46 MEDWAY'S ECONOMIC RECOVERY FROM COVID-19

### Target Residual Risk Score CII

The risk of second wave, or local lockdown and the resultant adverse impact on Medway's economy cannot be avoided, rather the Council's action plan is designed to support the economy through any such measures and to improve long term resilience and business growth.

### Trigger

On the 23 March the Prime Minister announced strict curbs on the movement of people for non-essential purposes to prevent the spread of Covid-19, and all non-essential shops and businesses were ordered to close to the public. The Government has been easing restrictions as the infection rate reduced, with segments of the economy able to return to business, however with significant alterations to ensure adequate social distancing.

### Consequence

- Reduced economic mobility and significant rise in unemployment with disproportionate effect on young people, part-time and entry level roles, women and people in BAME communities
- Increase in demand for Council services
- Reduced levels of council tax and business rates liability, and increased arrears, hampering the council's ability to support the wider economy
- Decreased apprenticeship vacancies
- Reduced strength of Medway's business base, in particular leisure, cultural, creative and hospitality sectors
- Accelerated decline of town centres and street markets
- Impact on supply chains
- Decreased relevance of Medway Council's strategic bases –current plans may no longer reflect business requirements or be financially viable
- Digital inclusion / exclusion
- Sustainability of higher and further education, and its impact on place
- Climate change benefits from lockdown may not be realised into recovery
- Medway's telephone/broadband infrastructure may not be sufficient to support long term shift away from central workspaces

### Opportunities and the way forward

- Commercial moves out of London – Medway as an attractive place to locate and do business.
- Rise in working from home / associated decline in commuting means residents spend more leisure and social time and money locally.
- Innovation Park Medway plans reshaped to support the post-Covid-19 economy.
- Opportunities presented by the 'safe outdoors' maximising Medway's green spaces.

<b>Strategic Risk SR46 Medway's economic recovery from Covid-19 Mitigating Action SR 46.01</b> Multi-agency Economy Cell for Recovery established including liaison with the Kent Resilience Forum Economic Recovery Cell
<b>Lead Officer</b> Assistant Director Regeneration
<b>Desired Outcome: Expected Output</b> Ensure Medway economy's objectives are adequately reflected at Kent and national level through the KRF. Oversee an effective multi-agency recovery plan for Medway.
<b>Progress update. September 2020</b> The Recovery Economy Cell continues to meet regularly and has expanded its membership to include a number of external partners. It has agreed an Economy Impact Assessment, and subsequently produced a wide-ranging Economy Recovery Action Plan. Both of these documents were shared for consultation with Medway for Business (Medway's economic partnership). In August, it was agreed that the Economy and Infrastructure recovery cells would merge, and the Impact Assessments and Action Plans for both Cells were combined. The renamed Economy and Infrastructure Cell is now in the process of discharging actions to lead agencies, with the first set of discharges to be agreed in the Cell's next meeting.

<b>Strategic Risk SR46 Medway's economic recovery from Covid-19 Mitigating Action SR 46.02</b> Delivery of government-directed financial support to businesses and individuals
<b>Lead Officer</b> Chief Finance Officer
<b>Desired Outcome: Expected Output</b> Support businesses to remain economically viable to reduce the number of business failures in Medway.
<b>Progress update. September 2020</b> We have distributed the following in financial support to date: <ul style="list-style-type: none"> <li>• Council Tax Hardship Fund to reduce the liability for those in receipt of Local Support for Council Tax (LSCT) by a further £150 – we have distributed £1.327million.</li> <li>• Expanded Business Rates Retail discount to 100%, including leisure and hospitality sites and removing the Rateable Value cap, through which we have awarded £32.498million.</li> <li>• Grants for small businesses and retail, hospitality and leisure businesses - we have distributed £31.835million to date, with a further £1.848million distributed through the Discretionary Grants Scheme</li> <li>• Business Rates holiday for non-local authority nursery schools through which we have awarded £286,000.</li> <li>• During Q1 the Council designed and implemented the Local Authority Discretionary Grants scheme to assist small businesses affected by Covid-19. At the end of Q2, over £1.848m had been provided to 321 businesses.</li> </ul> Government has indicated the possibility for discretionary grant funding (but not confirmed) if there is further local or national lockdown of more than 3 weeks.

<b>Strategic Risk SR46 Medway's economic recovery from Covid-19 Mitigating Action SR 46.03 Reopening High Streets Safely</b>
<b>Lead Officer</b> AD Culture & Community
<b>Desired Outcome: Expected Output</b> To support businesses in town centres to implement adequate social distancing measures to enable re-opening.
<b>Progress update. September 2020</b> Multi-agency approach taken to manage the safe reopening of High Streets 4 July with plans discussed with police colleagues, with advice and guidance materials provided to businesses. Allocation of £246,396 government grant announced. Programme document has been prepared detailing how expenditure has and is expected to be defrayed, but still awaiting formal agreement of this by MCHLG and Funding Agreement letter (due by end September). Unable to progress new project initiatives around business support, public art safety messaging and planters or claim for defrayed expenditure via quarterly claims until this agreement is received. Strict eligibility criteria restricting how the funding can be utilized and detailed financial and monitoring arrangements required to validate activities and claim appropriate expenditure. Currently c£150k forecast to be claimed including existing expenditure to date plus new project initiatives planned as above. Potential future lockdowns may also incur additional expenditure.
<b>Strategic Risk SR46 Medway's economic recovery from Covid-19 Mitigating Action SR 46.04 Supporting Medway's businesses</b>
<b>Lead Officer</b> AD Culture & Community
<b>Desired Outcome: Expected Output</b> To encourage and help facilitate the growth of businesses in Medway.
<b>Progress update. September 2020</b> The council continues to contract Locate in Kent who have adjusted their working practices to support those businesses who have been adversely affected by Covid-19 and encourage continued inward investment from business outside Medway. Kent Invicta Chamber of Commerce have introduced a Covid-19 Business Advice line by phone and Webchat. Rent deferrals were agreed for businesses in Council owned workspaces including ICM and Pentagon Centre and are now being reclaimed over the next 12 months.
<b>Strategic Risk SR46 Medway's economic recovery from Covid-19 Mitigating Action SR 46.05 Supporting residents' skills and employability</b>
<b>Lead Officer</b> AD Culture & Community
<b>Desired Outcome: Expected Output</b> Increasing high value businesses, high quality employment and creating jobs and inward investment

<p><b>Strategic Risk SR46 Medway’s economic recovery from Covid-19 Mitigating Action SR 46.05</b> Supporting residents’ skills and employability</p>
<p><b>Progress update. September 2020</b></p> <p>Most Skills &amp; Employability projects have resumed, notably the Supported Employment Programme in August and Apprenticeship Advice Service in September. Medway are heavily involved in the organising of the Kent and Medway Employment Taskforce which will respond to a growing employment crisis. The Skills &amp; Employability plan will be reviewed considering COVID-19 later in the year.</p> <p>Medway Adult Education has opened its buildings which are Covid compliant. Enrolments are coming in steadily at approximately 40-50% of last year. NB Adherence to social distancing regulations, classrooms can only hold 50% capacity. The online offer continues to develop and grow</p>
<p><b>Strategic Risk SR46 Medway’s economic recovery from Covid-19 Mitigating Action SR 46.06</b> Review Medway Council’s Strategy base, and resultant regeneration and other programmes to ensure clarity of focus on delivery of economic growth</p>
<p><b>Lead Officer</b> Corporate Management Team</p>
<p><b>Desired Outcome: Expected Output</b></p> <p>Effective focus of Council resources and activities that support delivery of economic growth in Medway</p>
<p><b>Progress update. July 2020</b></p> <p>Our Strategic Recovery Plan seeks to use the opportunity to address pre-crisis, place-based structural weaknesses, increase resilience and consider innovative and transformational development models for our place and our communities going forward</p> <p>We have begun initial work to review and adapt our strategies and policies, such as the Councils Strategy and Medway 2035, to reflect the new normal, and have a key role to play in influencing regional (and national) policy and strategy to support identified Recovery objectives.</p>
<p><b>Strategic Risk SR46 Medway’s economic recovery from Covid-19 Mitigating Action SR 46.07</b> Continue to lobby government to maximise support and opportunities for Medway</p>
<p><b>Lead Officer</b> Corporate Management Team</p>
<p><b>Desired Outcome: Expected Output</b></p> <p>Sustainable funding for Medway Council and an improved business rates regime to support businesses.</p>
<p><b>Progress update. July 2020</b></p> <p>The Council has responded to request for financial forecasts by the MHCLG setting out pressures anticipated and has engaged with officers from the Department to make a clear case for further financial support for local authorities.</p> <p>We will actively participate in the consultations emerging around the Government’s Spending Review and the future of local taxation frameworks.</p>

<b>STRATEGIC RISK: SR32 Data and Information</b>
<b>RISK OWNER: CHIEF LEGAL OFFICER</b>
<b>PORTFOLIO: RESOURCES</b>
<b>Current Residual Risk Score CII (Likelihood – significant. Impact – critical)</b>
<p>The Council has a Senior Information Risk Officer (SIRO) and a Caldicott Guardian.</p> <p>The Council has a Data Protection Officer.</p> <p>The Council manages information risk through a Security and Information Governance Group (SIGG).</p> <p>The Council has a suite of information governance policies.</p> <p>The Council has information sharing agreements and protocols in place.</p> <p>The Council has taken part in a “Big Data” project without any risks materialising.</p> <p>Training to all officers and to Members is being rolled out successfully.</p>
<b>Inherent Risk Score BII</b>
<p>Our Transformation Programme involves an increased reliance on digital technology both for customers and the Council. This brings with it an increased information risk particularly regarding personal and health data.</p> <p>Conversely not sharing information with partners and others minimises the Council’s ability to improve service delivery and reduce costs. There is also a duty to share information in the interests of client care (Caldicott 2 Report).</p> <p>Local Authorities are required to achieve Level 2 on the Information Governance toolkit; however opportunities to improve the Council’s position with respect to the IG toolkit requirements have been identified. Failure to achieve level 2 will mean that Medway Council will lose its trusted partner status with respect to the Kent and Medway information sharing agreement.</p> <p>Greater flexibility for the workforce using digital tools brings risk.</p> <p>Greater availability of information from the Council brings risk.</p>
<b>Target Residual Risk Score DIII</b>
<p>Human error is completely eradicated from data and information scenarios.</p> <p>Data breaches are very rare and when it occurs corrective action is taken quickly, learning implemented and accountability for future improved performance identified.</p> <p>Information sharing is commonplace and well managed.</p>
<b>Trigger</b>
<ul style="list-style-type: none"> <li>• Budget pressures</li> <li>• ICO Audit reveals areas for improvement</li> <li>• Digital Strategy</li> </ul>

<b>STRATEGIC RISK: SR32 Data and Information</b>
<ul style="list-style-type: none"> <li>• Big Data project with academics</li> <li>• Annual information governance toolkit submission</li> </ul>
<p><b>Consequence</b></p> <ul style="list-style-type: none"> <li>• Data loss leads to damage to reputation.</li> <li>• Not achieving cost efficiencies through Digital Strategy changes</li> <li>• Failing to achieve Members' expectations.</li> <li>• Failing to find new innovations</li> <li>• Failing to deliver good quality care for residents of Medway</li> </ul>
<p><b>Opportunities and the way forward</b></p> <p>September 2020 Reviewed no update required</p> <p>July 2020 When a lessons learned exercise for Covid-19 is conducted this will include identifying opportunities for the data and information.</p>

<p><b>Strategic Risk SR32 DATA AND INFORMATION MITIGATING ACTION SR32.01:</b> The Council has a Senior Information Risk Owner (Chief Legal Officer) and a Caldicott Guardian (Director of Children's and Adults Services) and in time for the General Data Protection Regulation also a Data Protection Officer (the Information Governance Manager)</p>
<p><b>Lead Officer</b> Chief Legal Officer</p>
<p><b>Desired Outcome: Expected Output</b></p> <p>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</p>
<p><b>Progress update.</b></p> <p>September 2020 Reviewed no update required</p> <p>July 2020 Work has continued on the General Data Protection Regulations (GDPR) project during the Covid-19 pandemic. Care will need to be taken by staff working at home to ensure that there is no increase in information risk. The Information Governance team, the Caldicott Guardian and the Senior Information Risk Officer have a role to play in mitigating this risk.</p>

<b>Strategic Risk SR32 DATA AND INFORMATION MITIGATING ACTION SR32.02: Information Sharing Agreement (ISA) for Kent</b>
<b>Lead Officer</b> Chief Legal Officer
<b>Desired Outcome: Expected Output</b> Provides the basis for ISAs within Kent organisations and outside PIAs, ISAs and SOPs and where appropriate Data Licence Agreements.
<b>Progress update.</b> September 2020 Reviewed no update required July 2020 Project specific ISAs etc. have been used during the Covid-19 pandemic as partner organisations have work jointly under the Civil Contingencies Act
<b>Strategic Risk SR32 DATA AND INFORMATION MITIGATING ACTION SR32.03: Security and Information Governance Group (SIGG)</b>
<b>Lead Officer</b> Chief Legal Officer
<b>Desired Outcome: Expected Output</b> 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.
<b>Progress update.</b> September 2020 Reviewed no update required July 2020 The SIGG has continued to provide a corporate overview of this area unaffected by the Covid-19 pandemic, due to the ability to conduct remote meetings.
<b>Strategic Risk SR32 DATA AND INFORMATION MITIGATING ACTION SR32.04: Meetings between Senior Information Risk Officer (SIRO) and Caldicott Guardian on specific risks</b>
<b>Lead Officer</b> Chief Legal Officer
<b>Desired Outcome: Expected Output</b> Good regular engagement to discuss risk areas PIAs, ISAs and SOPs co-signed where relevant



**Strategic Risk SR32 DATA AND INFORMATION MITIGATING ACTION SR32.04:** Meetings between Senior Information Risk Officer (SIRO) and Caldicott Guardian on specific risks

**Progress update.**

September 2020

Reviewed no update required

July 2020

Where needed liaison between the SIRO and the Caldicott Guardian has taken place.

**STRATEGIC RISK: SR36 Alternative service delivery models**

**RISK OWNER:** Chief Legal Officer **CHIEF FINANCE OFFICER**

**PORTFOLIO: LEADER'S**

**Current Residual Risk Score BIII (Likelihood – high. Impact – marginal)**

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.

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.

**Inherent Risk Score BII**

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.

**Target Residual Risk Score CIII**

Ultimately as these alternative deliver models embed, the Council will be looking for increased revenue income and higher levels of performance.

**Trigger**

### STRATEGIC RISK: SR36 Alternative service delivery models

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

#### Opportunities and the way forward

A Covid-19 lessons learned exercise has been carried out, and this included identifying opportunities for the alternative delivery models.

**Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.01:** Robust options appraisals, detailed business cases prepared

**Lead Officer** Relevant Assistant Director for each Service

#### Desired Outcome: Expected Output

Ensure effective decision making

The council only enters into arrangements that are beneficial to the service and/or budget and are sustainable

#### Milestones

Cabinet considers all business cases prior to any alternative arrangements being agreed

#### Progress update.

##### September 2020

Reviewed no update required

##### July 2020

**Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.01:** Robust options appraisals, detailed business cases prepared

Business cases are provided to Cabinet for review when appropriate. The Chief Finance Officer and the Chief Legal Officer are the liaison officers for the Council's alternative delivery models.

**Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.02:** Project management approach to implementation

**Lead Officer** Relevant Assistant Director for each Service

**Desired Outcome: Expected Output**

Clear agreed milestones for implementation in agreed timescale  
Smooth transition into new delivery model.

**Progress update.**

**September 2020**

Reviewed no update required

**July 2020**

Project Boards and Officer groups are used where appropriate to monitor performance of relevant projects, such as the transfer of waste services to Medway Norse

**Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.03:** Communication & stakeholder management

**Lead Officer** Relevant Assistant Director for each Service

**Desired Outcome: Expected Output**

Stakeholders informed / consulted  
Smooth transition into new delivery model

**Progress update.**

September 2020

Reviewed no update required

July 2020

Project Boards and Officer groups are used where appropriate to monitor performance of relevant projects, such as the transfer of waste services to Medway Norse.

**Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.04:** Sound legal and procurement advice on chosen delivery model

**Lead Officer** Chief Legal Officer

**Desired Outcome: Expected Output**

Robust agreements / contracts with clarity over responsibilities

Smooth operation of services, effective dispute resolution

**Progress update.**

September 2020

Reviewed no update required

July 2020

Project Boards and Officer groups are used where appropriate to monitor performance of relevant projects, such as the transfer of waste services to Medway Norse.

**Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.05:** Robust scrutiny / oversight mechanisms to ensure clear corporate understanding

**Lead Officer** Corporate Management Team

**Desired Outcome: Expected Output**

Delivery model and council held accountable for quality and cost of service

Council able to rely on financial information for robust financial planning

High performance

Financial resilience

**Progress update. September 2020**

September 2020

Reviewed no update required

July 2020

Regular reporting through Corporate Management Team, Scrutiny Committees and Cabinet takes place for the alternative delivery models.

**Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.06:** Reporting from and on delivery models with clear outcomes

**Lead Officer** Relevant Assistant Director for each Service

**Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.06:** Reporting from and on delivery models with clear outcomes

**Desired Outcome: Expected Output**

Effective performance management

High or improving performance of delivery model

**Progress update. September 2020**

September 2020

Reviewed no update required

July 2020

Regular reporting through Corporate Management Team, Scrutiny Committees and Cabinet takes place for the alternative delivery models.

**Strategic Risk SR36 Alternative service delivery models Mitigating Action SR36.07:** Business continuity arrangements

**Lead Officer** Chief Finance Officer

**Desired Outcome: Expected Output**

Delivery model and council both have clear roles and responsibilities in the event of any business continuity incident and Continuity of service

**Progress update. September 2020**

The experience of the Covid-19 response by the Council and its alternative delivery models, shows that good robust business continuity plans are in place. However there is always room for improvement and we have been diligent about capturing the lessons learned to influence refinement of our plans.

**STRATEGIC RISK: SR37 Cyber Security**

**RISK OWNER: CHIEF FINANCE OFFICER**

**PORTFOLIO: RESOURCES**

**Current Residual Risk Score CI (Likelihood – significant. Impact – catastrophic)**

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.

## STRATEGIC RISK: SR37 Cyber Security

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.

### Inherent Risk Score CI

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

### Target Residual Risk Score CI

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 CI levels.

Since all appropriate actions are being taken to maintain cyber security the risk has been managed to as low as possible. However, will remain on the strategic risk register in view of the inevitability of a cyber-attack.

### Trigger

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

### 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 Network & Cyber Security Manager has specific responsibilities for the security of the network, overseeing user privileges &

**STRATEGIC RISK: SR37 Cyber Security**

security policies, and user education and awareness.

System monitoring software tools are being reviewed to determine whether there are solutions that will further strengthen the cyber security measures already in place.

**Strategic Risk SR37 Cyber Security Mitigating Action SR 37.01 Secure configuration:** Remove or disable unnecessary functionality from systems, and to quickly fix known vulnerabilities.

**Lead Officer** Head of ICT

**Desired Outcome: Expected Output**

Patch Management regime in place to treat known vulnerabilities

**Milestones**

Certified PSN compliance – May 2021

**Progress update.****October 2020**

Reviewed. No update required.

**JUNE 2020**

ICT Network & Cyber Security is focusing on further secure configurations, Network security and managing user privileges

**Strategic Risk SR37 Cyber Security Mitigating Action SR 37.02 Network security:** Create and implement policies and appropriate architectural and technical responses, thereby reducing the chances of attacks succeeding

**Lead Officer** Head of ICT

**Desired Outcome: Expected Output**

Network policies in place to prevent attacks

**Milestones**

Certified PSN compliance – May 2021

**Progress update.****October 2020**

Reviewed. No update required.

**JUNE 2020**

ICT Network & Cyber Security is focusing on further secure configurations, Network security and managing user privileges

**Strategic Risk SR37 Cyber Security Mitigating Action 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.

**Lead Officer** Head of ICT

**Desired Outcome: Expected Output**

User policies in place to ensure system privileges meet role requirements

**Milestones**

Certified PSN compliance – May 2021

**Progress update.**

**October 2020**

Reviewed. No update required.

**JUNE 2020**

ICT Network & Cyber Security is focusing on further secure configurations, Network security and managing user privileges

**Strategic Risk SR37 Cyber Security Mitigating Action 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

**Lead Officer** Head of ICT

**Desired Outcome: Expected Output**

Information and cyber security training available to all system users. Staff induction references cyber security risks and user responsibilities for risk treatment

**Milestones**

Certified PSN compliance – May 2021

Bid for funds against LGA cyber security budget

**Progress update.**

**October 2020**

Reviewed. No update required.

**JUNE 2020**

The ICT Network & Cyber Security Manager is working with the Senior Workforce Development officer to implement an



**Strategic Risk SR37 Cyber Security Mitigating Action 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

elearning/MetaCompliance system for use education and awareness following the success of the Kent Connects funding bid.

**Strategic Risk SR37 Cyber Security Mitigating Action SR 37.05 Incident management:** All organisations will experience security incidents at some point. Investment in establishing effective incident management policies and processes will help to improve resilience, support business continuity, improve customer and stakeholder confidence and potentially reduce any impact.

**Lead Officer** Head of ICT

**Desired Outcome: Expected Output**

ICT security policies in place and regularly reviewed. Any recognised cyber security incident is reported to appropriate board

**Milestones**

Certified PSN compliance – May 2021

**Progress update.**

**October 2020**

Reviewed. No update required.

**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 response for the ICO. Due to the quality of the response no further action was necessary

**Strategic Risk SR37 Cyber Security Mitigating Action 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.

**Lead Officer** Head of ICT

**Desired Outcome: Expected Output**

Policies in place to monitor and capture known malicious code

**Milestones**

Certified PSN compliance – May 2021

**Strategic Risk SR37 Cyber Security Mitigating Action 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.

**October 2020**

Reviewed. No update required.

**MAY 2020**

Malware protection systems have been reviewed and found to be up to date and effective.

**Strategic Risk SR37 Cyber Security Mitigating Action 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

**Lead Officer** Head of ICT

**Desired Outcome: Expected Output**

Security Incident and event management (SIEM) systems in place

**Milestones**

Certified PSN compliance – May 2021

Bid for funds against LGA cyber security budget.

**Progress update.**

**October 2020**

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.

Estimated Council wide deployment November 2020, implementation was delayed due to COVID

**Strategic Risk SR37 Cyber Security Mitigating Action 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.

**Lead Officer** Head of ICT

**Desired Outcome: Expected Output**

Removable media policies in place with security controls on user devices

**Strategic Risk SR37 Cyber Security Mitigating Action 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.

**Milestones**

Certified PSN compliance – May 2021

**Progress update.**

**October 2020**

Reviewed. No update required.

**DECEMBER 2019**

Reviewed on 23 December 2019 no update required. Certification complete May 2020

Reaccreditation required May 2021

**Strategic Risk SR37 Cyber Security Mitigating Action 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.

**Lead Officer** Head of ICT

**Desired Outcome: Expected Output**

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

**Milestones**

Certified PSN compliance – May 2021

**Progress update.**

**October 2020**

Reviewed. No update required.

**JUNE 2020**

In light of the COVID and growth in working from home the HR policy is currently under review, once this is complete ICT is going to be a review on the ICT mobile working security policy to ensure that it covers the new HR policy.

Certification complete May 2020

Reaccreditation required May 2021

<b>STRATEGIC RISK: SR02 Business continuity and emergency planning</b>
<b>RISK OWNER Director of Place and Deputy Chief Executive</b>
<b>PORTFOLIO: Business management (cross cutting)</b>
<b>Current Residual Risk Score DII (Likelihood – low. Impact – critical)</b>
<p>The Emergency Plan is subject to rigorous testing on a regular basis both internally and externally with the plan continually refined as a result to meet the ever-changing needs of the council and local area.</p> <p>An annual presentation on Business Continuity is included at a meeting of all council Service Managers.</p> <p>Assistant Directors are responsible for ensuring that the testing of business continuity plans has taken place. Testing to date has been completed during live incidents.</p> <p>The Corporate Business Continuity Plan is currently being refreshed and is aligned to the Emergency Plan</p>
<b>Inherent Risk Score CI</b>
<p>Duties under the Civil Contingencies Act require councils to have an Emergency Plan. The Emergency Management and Response Structure may not be robust enough to respond to a major emergency.</p> <p>Every business activity is at risk of disruption from a variety of threats, which vary in magnitude from catastrophic through to trivial, and include pandemic flu, fire, flood, loss of utility supplies and accidental or malicious damage of assets or resources.</p> <p>The change of council assets / responsibilities going to either commissioned or third party contractors, Medway Norse or Medway Commercial Group also provides unique challenges to the established Roles and responsibilities during planning and response to Emergency Events.</p>
<b>Target Residual Risk Score DII</b>
<p>The Council will never be able to reduce the risk further as it is impossible to completely mitigate unforeseen adverse events.</p> <p>The Council needs to consistently complete hard and soft testing of its business continuity plans to ensure it achieves and maintains the DII risk scoring.</p>
<b>Trigger</b>
<p>A significant adverse event occurs, and the Council is found wanting or negligent in its planning and/or operational response</p>
<b>Consequence</b>
<ul style="list-style-type: none"> <li>• Response to event is not rapid, adequate nor effective.</li> <li>• Lack of clear communication lines.</li> <li>• Essential service priorities not clearly understood.</li> <li>• Communication between agencies and the public is poor.</li> <li>• There is a perception by residents that the Council does not have a visible presence at the Incident.</li> <li>• Residents expect more from their Council.</li> <li>• Local press quick to seize issue.</li> </ul>

### STRATEGIC RISK: SR02 Business continuity and emergency planning

- Comparisons made with other local authorities and resilience groups.
- A death, or deaths, in the community.
- Legal challenge under the 'Civil Contingencies Act 2004'.

#### Opportunities and the way forward

As a result of COVID19 the Corporate Business Continuity Plan and BC training will be reviewed to include best practice, lessons learnt and observations made from the Councils response and recovery plans.

Cabinet received a paper on the Councils Covid response on 07 July 2020 and Covid recovery on 25 August 2020.

**Strategic Risk SR02 Business continuity and emergency planning Mitigating Action SR 02.01:** Continued review and develop the Council's Major Emergency Plan (MEP) including any Lessons Identified

**Lead Officer** Director of Regeneration, Culture, Environment & Transformation

#### Desired Outcome: Expected Output

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.

#### Milestones

Draft plan in place.

Call out arrangements in place covering all roles & responsibilities 24/7 (Blue Card) (enhanced during LA stand down Periods).

Reduced relevant staff training during 2020

#### Progress update.

August 2020

The COVID-19 Crisis has proved that Medway's Councils Emergency process fit for purpose, focused, prioritised and effective in dealing with this large scale National Major Incident. The Major Emergency Plan gave structure and was flexible enough to bend and evolve with the complexities of this emergency.

There are several concerns:

**Strategic Risk SR02 Business continuity and emergency planning Mitigating Action SR 02.01:** Continued review and develop the Council's Major Emergency Plan (MEP) including any Lessons Identified

- Training/exercises has been kept to an absolute minimum due to budgetary pressures.
- The Kent resilient Forum is developing and an increase in subscription is expected if current plans within the Kent Resilience Team are realised.
- The Blue Card system of callout requires attention by CNT to identify new staff members to replace those who have left.

Over the COVID-19 period the Blue card system of response would have worked however, the staff needed to carry out the operational functions may not have been available.

- Basic functions of Safe place emergency REST Centre provision were also suspect due to 4 type of evacuee with use of limited staff.
- The increasing "Working from Home call post the COVID-19 Crisis places an undue pressure on immediate during working hours Response and therefore Business Continuity. Simply put unknown staff available, longer response times, more detailed coordination of staff to support our Category one responsibilities.
- I believe it was proved that the working from home (Do not go into work guidance) has significant challenges in relation to managers release staff to be redeployed in other critical services during the COVID-19 Crisis.

A full Lessons Identified process will be undertaken post COVID-19 response phase.

Medway Councils MEP and is now due for review during the 21/22 period.

**Strategic Risk SR02 Business continuity and emergency planning Mitigating Action SR 02.02:** Business continuity plans completed to implement the actions

**Lead Officer** Director of Regeneration, Culture, Environment & Transformation

**Desired Outcome: Expected Output**

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.

**Progress update.**

Reviewed 29 September 2020 no update required.

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

**Strategic Risk SR02 Business continuity and emergency planning Mitigating Action SR 02.02:** Business continuity plans completed to implement the actions

their roles and responsibilities within it. This also forms part of the induction for all new staff.