

Corporate Business Risk Register

RISK MATRIX - STRATEGIC PROFILE FOR SEPTEMBER 2009

Likelihood ↑	A		19, 21	
	B		3b, 4, 8a, 9b, 14, 17	5
	C		9a, 13	20
	D		2, 7, 16	
	E			
	F			
		IV	III	II
	Impact →			

**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

## Corporate Business Risk Register

<b>Risk Ref : 19</b>	<b>Economic Downturn</b>	<b>Owner : Neil Davies</b>	<b>Portfolio Holder : Alan Jarrett</b>	<b>Current Risk Score : A2</b>	<b>Reviewed : Sep 2009</b>
<b>Link to Corporate Priority : Putting our customers at the centre of everything we do &amp; Everyone benefitting from the area's regeneration</b>					
<b>Vulnerability</b>		<b>Trigger</b>	<b>Consequence</b>		
<p>A recession would impact upon the Council's ability to:</p> <p>a) support the vulnerable in our community and manage potential increase in child poverty, homelessness, benefit take-up, potential increase in anti-social behaviour and crime.</p> <p>b) deliver the capital programme</p> <p>c) raise as much income as forecast through fees and charges</p> <p>d) take forward Medway's regeneration and educational agenda</p>		<p>A worsening global economic climate that impacts upon Medway.</p>	<ul style="list-style-type: none"> <li>• Negative impact on the community</li> <li>• Increased pressure on existing resources</li> <li>• Reduction/cuts to services</li> <li>• Increased costs of purchasing services</li> <li>• Land value decline putting partnering arrangements at risk</li> <li>• Quality of service compromised.</li> <li>• Relationship with partners may deteriorate</li> <li>• Damage to reputation.</li> <li>• Negative publicity</li> <li>• CAA performance jeopardised</li> <li>• Reduced fees in leisure facilities and car parks</li> <li>• Potential debt arrears (both council and others)</li> <li>• Increased benefit take up</li> </ul>		

<b>Action/controls already in place</b>	<b>Adequacy of action/control to address risk</b>	<b>Responsibility for action</b>	<b>Required management action/control</b>	<b>Critical success factors &amp; KPI's</b>	<b>Review frequency</b>	<b>Key dates (milestones &amp; deadlines)</b>
Regular monitoring of economic downturn by Corporate Management Team and Medway Economic Board	Performance indicators on downturn examined.	Director RCC	Continue to assess the situation	<ul style="list-style-type: none"> <li>• Council income</li> <li>• Planning and Building Control applications</li> <li>• Vacancy rates</li> <li>• Houses under construction</li> <li>• Payment of Council Tax</li> </ul>	Monthly	On-going

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Action/controls already in place	Adequacy of action/control to address risk	Responsibility for action	Required management action/control	Critical success factors & KPI's	Review frequency	Key dates (milestones & deadlines)
Launch of Medway Plan for local businesses	Helping local businesses to survive the recession.	Economic Development Officer	Continue to assess the situation	<ul style="list-style-type: none"> <li>• <b>All</b> invoices paid in 20 days</li> <li>• Opportunities for local firms to bid for contracts</li> </ul>	Monthly	On-going
Working with partners to deliver a 2 month benefit take-up campaign.	Improve awareness – signpost benefit	Chief Finance Officer	Continue to assess the situation	<ul style="list-style-type: none"> <li>• NI181</li> </ul>	Monthly	On-going
Review investment strategy	Assess funding streams and adjust spend priorities	Chief Finance Officer	Continue to assess the situation	<ul style="list-style-type: none"> <li>• Capital monitoring reports</li> </ul>	Monthly	On-going
Regular reports on capital programme to both Management and Members	<b>Good</b> - Reports are based on historic data forecast to end of year position.	Budget holders and directors	<ul style="list-style-type: none"> <li>• Finance Teams to produce data in collaboration with Managers.</li> <li>• Management to identify corrective action.</li> <li>• Members (Cabinet) to approve action</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring reports</li> </ul>	monthly	On-going

## Corporate Business Risk Register

<b>Risk Ref : 21</b>	<b>Procurement</b>	<b>Owner : Deborah Upton</b>	<b>Portfolio Holder : Alan Jarrett</b>	<b>Current Risk Score : A2</b>	<b>Reviewed : Sept 2009</b>
<a href="#">Link to Corporate Priority : Value for Money</a>					
<b>Vulnerability</b>		<b>Trigger</b>		<b>Consequence</b>	
Procurement processes are not consistently applied across the council.		<ul style="list-style-type: none"> <li>Complaints/challenge from tenders to procurement decisions.</li> <li>Audit reviews reveal weaknesses</li> </ul>		<ul style="list-style-type: none"> <li>Legal challenges</li> <li>Negative publicity</li> <li>Council does not achieve value for money</li> <li>Damage to reputation</li> <li>CAA performance jeopardised</li> <li>Increased costs of purchasing services</li> <li>Not achieving cost efficiencies</li> <li>Overspend on budget allocation</li> <li>Failing to achieve Members' expectations</li> <li>Failing to achieve statutory responsibilities</li> </ul>	

<b>Action/controls already in place</b>	<b>Adequacy of action/control to address risk</b>	<b>Responsibility for action</b>	<b>Required management action/control</b>	<b>Critical success factors &amp; KPI's</b>	<b>Review frequency</b>	<b>Key dates (milestones &amp; deadlines)</b>
Member chaired Procurement Board and AD led Officer Scrutiny Panel that meets every three weeks.	The active role of the Procurement Board and the Procurement Forward Action Plan ensure a strongly managed process to deliver the Procurement Strategy	AD (Housing and Corporate Services)			3 weekly	On-going
Forward Procurement Plans in place for each directorate		Directors/ Procurement Team	Complete creation of a contracts register that records all contracts currently in place and date due to finish.		3 weekly	December 2009

## Corporate Business Risk Register

Action/controls already in place	Adequacy of action/control to address risk	Responsibility for action	Required management action/control	Critical success factors & KPI's	Review frequency	Key dates (milestones & deadlines)
Review of procurement processes.	To ensure processes continue to be fit for purpose.	AD (Housing and Corporate Services)	Refresher training for officers involved in procurement.	To be identified through leadership programme.	3 weekly	December 2009

## Corporate Business Risk Register

<b>Risk Ref : 5</b>	<b>Waste Procurement</b>	<b>Owner : Robin Cooper</b>	<b>Portfolio Holder : Phil Filmer</b>	<b>Current Risk Score : B1</b>	<b>Reviewed : Sept 2009</b>
<a href="#">Link to Corporate Priority : Clean &amp; green environment</a>					
<b>Vulnerability</b>		<b>Trigger</b>		<b>Consequence</b>	
<p>The Council has tendered for a new waste management contract to begin November 2009, worth approximately £14 million per annum.</p> <p>The process has reached the potential to award the contract. However, questions raised from unsuccessful bidders regarding evaluation of the bids has delayed the award of contract. whilst the Council takes external legal and financial advice.</p> <p>Deferral of part of the procurement process could have significant financial implications.</p>		<p>The Council does not negotiate a good value contract within acceptable budget provision</p>		<ul style="list-style-type: none"> <li>• The council does not get Value for Money</li> <li>• Benefits of contracting out not realised</li> <li>• Services not provided at an acceptable level</li> <li>• Recycling targets missed</li> <li>• Costs over-run.</li> <li>• Failing to achieve Members' expectations</li> <li>• Resident criticism</li> <li>• High profile service under the spotlight.</li> </ul>	

<b>Action/controls already in place</b>	<b>Adequacy of action/control to address risk</b>	<b>Responsibility for action</b>	<b>Required management action/control</b>	<b>Critical success factors &amp; KPI's</b>	<b>Review frequency</b>	<b>Key dates (milestones &amp; deadlines)</b>
Project Board for the new waste contract set up.	The board meet regularly. Detailed minutes and actions produced	Director of Regeneration, Community & Culture	Board might have to meet at specific dates targeted to coincide with key decision milestones	Award of contract to be determined	Board meets monthly	On-Going
Cabinet has agreed delegated authority to the Director of Regeneration, Community & Culture in consultation with the Portfolio Holder to extend current contract arrangements for up to two years.	This action will expedite the decision making process in the event that there is the need to extend current contract arrangements to maintain service levels.	Director of Regeneration, Community & Culture	Regular updates to Portfolio Holder and the waste procurement project board.	Decision on award of contract to by end of October 2009	Weekly	On-going

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Action/controls already in place	Adequacy of action/control to address risk	Responsibility for action	Required management action/control	Critical success factors & KPI's	Review frequency	Key dates (milestones & deadlines)
Continued dialogue with external legal and financial advisers concerning substance of concerns expressed by bidders.	Robust external advice will ensure effective decision making.	AD Frontline Services	Regular updates to portfolio holder and the waste procurement project board.	Decision on award of contract by end of October 2009	Weekly	On-going
Other peripheral services such as abandoned vehicles and potentially clinical waste to be dealt with in accordance with timetable.	Exclusive pre qualification and reference questionnaire devised. Electronic data room and contact procedure set up.	AD Frontline Services	Review and report on responses to Pre-qualification questionnaires (PQQ)	Monitor and evaluate responses in accordance with timetable.	Monthly	The Clinical Waste contract is being procured jointly with KCC.

## Corporate Business Risk Register

<b>Risk Ref : 3b</b>	<b>Finances – Longer term</b>	<b>Owner : Mick Hayward</b>	<b>Portfolio Holder : Alan Jarrett</b>	<b>Current Risk Score : B2</b>	<b>Reviewed Sept 2009</b>
<a href="#">Link to Corporate Priority : Giving Value for Money</a>					
<b>Vulnerability</b>	<b>Trigger</b>		<b>Consequence</b>		
<p>The Resource Strategy identifies significant commitments for the Council that will be difficult to fund given the constraint upon Council Tax. Increases, the financial settlement already announced to 2010/11.</p> <p>Expectations for the future - given recent experience, the global recession and financial crisis suggests sever financial constraints for the public sector.</p>	<ul style="list-style-type: none"> <li>• Medway does not achieve a shift in the way funding is allocated and financial challenges exacerbate.</li> <li>• Future financial settlements produce real cuts in resources</li> </ul>		<ul style="list-style-type: none"> <li>• Very difficult decisions around funding allocation</li> <li>• Service cuts</li> <li>• Quality of service compromised.</li> <li>• Cutback in staffing on an already lean organisation</li> <li>• CPA/CAA Excellence jeopardised</li> <li>• Tensions within the Authority around the purpose of the Council</li> <li>• Negative local publicity.</li> <li>• Damage to reputation.</li> </ul>		

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Need to ensure effective response/lobbying to Govt proposals for CSR and settlement and target media campaign in support	Adequate but possibly of little effect	CFO	-Co-ordinate responses with members. -Brief MP's. -Agree media campaign. -Solicit support from peer authorities.	Use of Resources – adequacy of financial planning, effective budget control.	Six Monthly	July 2009 & on-going
Challenge to pressures through budget process, establish efficiency targets	Good	CFO/Service Directors	-Identify pressures/savings options -Member scrutiny - Resources to outcomes and priorities	Use of Resources – adequacy of financial planning, effective budget control, balanced budget and adequacy of reserves.	Monthly	September to February 09/10



## Corporate Business Risk Register

Risk Ref : 4	Performance management	Owner : Stephanie Goad	Portfolio Holder : Janice Bamber	Current Risk Score : B2	Reviewed : Sept 2009
<b>Link to Corporate Priority : Giving Value for Money</b>					
<b>Vulnerability</b>		<b>Trigger</b>	<b>Consequence</b>		
<p>There are concerns that performance is not consistently managed across the council.</p> <p>The Council has introduced a comprehensive performance management (and business planning) framework</p>		<p>The council fails to embed a robust performance management system</p>	<ul style="list-style-type: none"> <li>• Issues in vulnerable services are not recognised before key inspections</li> <li>• Some staff continue to focus on inputs and processes rather than outcomes.</li> <li>• Some staff continue to feel disconnected and unengaged from the business plans.</li> <li>• Silo-ism reinforced</li> <li>• Communication blockages remain if 1-2-1s and team meetings are seen as irrelevant to the 'day job'</li> <li>• Rate of improvement is impeded</li> <li>• Council struggles to achieve excellence</li> <li>• Affects service planning</li> <li>• Not getting Value for Money</li> <li>• Poor CAA score</li> </ul>		

Action/controls already in place	Adequacy of action/control to address risk	Responsibility for action	Required management action/control	Critical success factors & KPI's	Review frequency	Key dates (milestones & deadlines)
<p>New set of measures developed based around new national 198 indicator set.</p> <p>These new measures were reviewed in response the Council Plan, these will be outcome focused and consist of the NIs and local indicators which monitor performance in achieving the Agreed priorities.</p>	Adequate	Assistant director communications, performance and partnerships with directors	<p>Ongoing focus required on LAA target delivery</p> <p>More detailed scrutiny of underperforming (red rated) targets to take place by senior officers, cabinet and O&amp;S</p>	Council Plan outcomes are used as key management tool to drive performance improvement. Positive performance trend	Quarterly	<p>Commences July for second quarter monitoring in Oct/Nov.</p> <p>To be signed off June 2009 and monitored quarterly.</p>

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Action/controls already in place	Adequacy of action/control to address risk	Responsibility for action	Required management action/control	Critical success factors & KPI's	Review frequency	Key dates (milestones & deadlines)
<p>New performance management software purchased</p> <p>Project plan in place to roll out Covalent across the organisation by December 2009</p>	Adequate	Assistant director communications, performance and partnerships	<p>Ensure timely reporting of performance against outcomes to management and Members</p> <p>Project board established to oversee the implementation of the Covalent system</p> <p>Delivery of reports using Covalent Software embeds performance management across the organisation.</p>	System introduced and being actively used	Quarterly	<p>Total roll out by Dec 09</p> <p>Quarterly Council Plan monitoring reports delivered using the Covalent system</p>
New organisational structure brings all resources working on performance mgt support to a central team	Adequate	Assistant director communications, performance and partnerships with directors	<p>New quarterly performance monitoring processes are in place for 2009/10</p> <p>Interim performance manager in place for adult social care – permanent post being filled.</p>	Staff in post. Changes to practice and management behaviour	Quarterly	Impact to be reviewed Dec 09.
Assessment of adequacy of performance management arrangements against new CAA criteria.	Adequate.	Assistant director communications, performance and partnerships with directors	Development plans to be reviewed in light of confirmed CAA changes.	Positive audit feedback.	Quarterly	Review identified areas for development – focus continues to be service planning and the related service plan monitoring

## Corporate Business Risk Register

<b>Risk Ref : 8a</b>	<b>Partnership Working</b>	<b>Owner: Stephanie Goad</b>	<b>Portfolio Holder: Janice Bamber</b>	<b>Current Risk Score: B2</b>	<b>Reviewed : Sep 2009</b>
<b>Link to Corporate Priority : Giving value for money, Safer communities and Everyone benefiting from regeneration</b>					
<b>Vulnerability</b>		<b>Trigger</b>		<b>Consequence</b>	
The council is involved in a number of key partnerships to deliver for the people of Medway and going forward this will be an even more important part of how Local Authorities deliver better outcomes for their area with the introduction of new style local area agreements and the Comprehensive Area Assessment (CAA)		<ul style="list-style-type: none"> <li>• A key partnership fails to deliver</li> <li>• Statutory responsibilities are not adequately recognised through partnership arrangements.</li> <li>• LAA targets are off track</li> </ul>		<ul style="list-style-type: none"> <li>• Council's capacity</li> <li>• Impact on service delivery</li> <li>• Community outcomes compromised.</li> <li>• Relationship with partners may deteriorate</li> <li>• Don't get joined up approach to achieving the vision for Medway</li> <li>• Financial implications</li> <li>• Claw-back of grants</li> <li>• More difficult to control budget requirements</li> <li>• Poor inspection outcomes</li> <li>• Statutory responsibilities</li> </ul>	

<b>Action/controls already in place</b>	<b>Adequacy of action/control to address risk</b>	<b>Responsibility for action</b>	<b>Required management action/control</b>	<b>Critical success factors &amp; KPI's</b>	<b>Review frequency</b>	<b>Key dates (milestones &amp; deadlines)</b>
LSP has been reviewed with new Board in place which engages all key decision makers in Medway	Good	AD communications, performance and partnerships	Ensure new Local Strategic Partnership structure works effectively	Attendance and participation at board meetings  LAA targets built into key plans of major partners	6 month review of LSP new structure	Scheduled for January 2009o – now formally to take place June A review of the operation of the Board has been undertaken at six months. in November 2008 along with a detailed

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						annual self assessment which has informed work programming of the priorities. In November, the Board will host a Chairs and Opposition spokespersons and LAA Named Partners Board for the period 2009 – 2010. The LSP Board is supported to undertake an ongoing review of its effectiveness. The September 2009 meeting will consider a revised Governance document which seeks to strengthen the strategic capability of the

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						LSP introducing JD and Person spec for the role of Board member and chair and new arrangements for dealing with substitutions at the LSP Board.
5 new LSP thematic partnerships established  4 of the 5 Partnerships have reviewed their ToR and membership to discharge LSP priorities effectively	Adequate	AD Communications, performance and partnerships Directors	Lead partnerships to review membership and operation	Partnerships reviewed	6 month review of LSP new structure	Scheduled for January 2009o – now formally to take place June
New multi agency operational group in place to ensure work of LSP board is delivered	Adequate	AD communications, performance and partnerships  Directors	Ensure Local Strategic Partnership is delivering on targets	Attendance, participation in meetings of key agencies and council staff, measurable impact in terms of challenging LAA targets which are off track and developing cross cutting projects	6 month review of LSP new structure	January 2009. The operation of the Group has been reviewed and additional support assembled in the form of a Performance Manager's Group

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Chief Officers attend PCT Board meetings and ADs attend Professional Executive Committee (PEC) meetings Service Managers to attend PEC sub groups	Builds a hierarchy of joint planning and monitoring activity that sharpens knowledge and offers opportunities to develop shared understanding in building integrated services	Director of Children & Adults, Caring & Learning , ADs and Service Managers	Regular monitoring of the efficacy of these arrangements by the Management Team	No surprises and reduced tensions between the two organisations	Annually	
Partnership agreements to define responsibilities and government arrangements	Partnerships to review current arrangements.	Directors and lead partners	Regular monitoring of the efficacy of these arrangements by the Management Team			December 2009
Protocol agreed for the operation of all arrangements made under Section 31 of the Health Act	Clarity of processes and procedures for setting managing and monitoring budgets operated by one organisation on behalf of both	Director of Children & Adults, Caring & Learning	Protocols to be set out in original agreements to pool budgets or combine services or take on lead commissioning responsibilities	At time of signing agreements		
Joint Work on JSNA	Evidence based joint planning and commissioning	Director of Children & Adults, Caring & Learning and Director of Public Health	Agreed sign-off	Useful and used needs analysis		
Children's Trust in place	Effective transition from Children & Young Peoples Strategic Partnership to Children's trust	Director of Children & Adults, Caring & Learning; AD Childrens' Care	Draft Governance protocols agreed by December 08			Trust went live April 09

## Corporate Business Risk Register

<b>Risk Ref : 9b</b>	<b>Failure to keep vulnerable young people safe and on track</b>	<b>Owner: Rose Collinson</b>	<b>Portfolio Holder : Les Wicks</b>	<b>Current Risk Score : B2</b>	<b>Reviewed: Sep 2009</b>
<a href="#">Link to Corporate Priority : Children and young people having the best start in life</a>					
<b>Vulnerability</b>		<b>Trigger</b>	<b>Consequence</b>		
<p>There are challenges to the demand-led children services within Medway.</p> <p>There are more, younger, people coming into the system with intensive support SEN needs.</p> <p>These services represent major components of the Councils funding provision.</p> <p>National and local evidence base that Children and Young people in care are more vulnerable to poorer outcomes</p> <p>Changes in the youth justice system requiring new skills set within existing practitioners.</p>		<p>The Council is unable to address these issues with cost effective, innovative solutions.</p>	<ul style="list-style-type: none"> <li>• More and more resource is needed to run the service</li> <li>• Poorer outcomes for children and young people</li> <li>• Significant budget overspends</li> <li>• Money drawn from other services</li> <li>• Cost spiral</li> <li>• Reductions in service level the council can offer</li> <li>• Revenue problems not resolved by capital investments</li> <li>• Adverse effect on staff morale affected</li> <li>• Adverse effect on assessments</li> <li>• Council may be required to make unpopular decisions.</li> <li>• Councils finances compromised</li> </ul>		

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<p>The numbers of looked after children in Medway is, and has been, pretty constant over the last 18 months at about 340. Therefore there is not an increase in the numbers. There is an increase in the spend however as the needs of these young people become more complex.</p>	<p>The Children's Care Division produces a monthly performance digest and reports this to the GOSE Children's Services Advisor. The management response to the Looked After Children (LAC) review is being monitored by C&amp;A Services DMT and in 1:1 meetings with the Director of C&amp;A L&amp;C and her managers</p>	<p>The Assistant Director for Children's Services is responsible for delivering improved services for LAC and for reducing the numbers of LAC. She reports to the Director of Children &amp; Adult's Services, Learning &amp; Caring.</p>	<p>Ensuring service delivered within budgetary constraints.</p>	<p>The numbers of Looked after children reducing whilst the safety of all children and young people is maintained to the highest order.</p> <p>Family Group conferencing impacts on reduced numbers of YP entering care system</p>	<p>The number of Looked After Children is reviewed monthly.</p>	<p>The January annual report to the corporate parenting group will be the critical milestone.</p>

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In recognition of the high risks facing councils in their duties to safeguard children, as highlighted by the 'Baby P' case and the Laming report, the Council have decided to invest in improvements to safeguard children.	Performance is monitored monthly through the AD's performance digest and quarterly through the AD quarterly report.  Additional file audits look at current practice and record keeping.	Assistant Director of Children's Care, is responsible for safeguarding children, she reports directly to the Director of Children and Adults – learning and caring	Ensuring service is delivered effectively and children are kept safe, within a budget whilst making sure that resourcing issue doesn't put our most vulnerable at risk.	Internal and external review and NIs demonstrate risk to vulnerable children and young people is being effectively managed	Monthly performance digest and ADQ	Ongoing
A 5 year SEN Strategy setting out milestones towards more inclusive, VFM, local provision to meet the needs of CYP with SEN, is out for consultation.	Performance is monitored through Assistant Director Quarterly Report.	AD Inclusion is responsible for finalising and implementation of the SEN strategy.	Ensuring service delivered within budgetary constraints	Less out of area SEN placements; more children being educated in mainstream schools with outreach.	SEN data is reviewed as part of the AD's quarterly performance digest and ADQ.	Consultation closes at end of September. Planned Strategy launch at the end of November.
Training in place for YOT staff. YOT management board briefed.	Performance is monitored monthly (proxy figures) and quarterly (YJB information) 1: 1 meetings with Head of Service	AD Inclusion is responsible for the Youth Offending Team and ensuring that practitioners are equipped to be compliant with changes in the Youth Justice system. She reports directly to the Director of Children & Adults – learning and caring.	Ensuring service delivered within budgetary constraints	Numbers of first and repeat entrants to the YJS. Number of custodial and repeat custodial sentences need to be lowered	The number of YOT clients are reviewed monthly and quarterly with reports being taken to the YOT management board (chaired by CEO)	December report to YOT management board will show the YOT's response to the new CJSSS and Youth Rehabilitation order.



## Corporate Business Risk Register

<b>Risk Ref : 14</b>	<b>Delivering Radical Innovation</b>	<b>Owner: Neil Davies</b>	<b>Portfolio Holder : Alan Jarrett</b>	<b>Current Risk Score: B2</b>	<b>Reviewed: Sep 2009</b>
<a href="#">Link to Corporate Priority : Giving Value for Money</a>					
<b>Vulnerability</b>		<b>Trigger</b>	<b>Consequence</b>		
<p>Like most organisations, public and private, Medway is finding it increasingly difficult to find service improvement and cost efficiency by slimming down existing service provision.</p> <p>It will need to address radical delivery solutions, some of which might be politically and managerially uncomfortable, if it is to make a quantum leap forward.</p>		Budget savings/efficiencies are not made.	<ul style="list-style-type: none"> <li>• Short term thinking and operational behaviour</li> <li>• Opportunities for income generation are missed.</li> <li>• Opportunities for shared and devolved service provision are missed.</li> <li>• Radical efficiency gains lost</li> <li>• Economies of scale not achieved.</li> <li>• Budget challenges will exacerbate</li> <li>• Others will lead the way.</li> <li>• Medway marginalised.</li> </ul>		

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Service Planning and Star Chamber process	The process requires managers to identify alternative ways of delivering their services	Service Manager' AD and directors			This year the process will start in May 2009	<a href="#">October 2009</a>
Established networks used to explore opportunities for partnership/joint working	May take some time to develop and implement workable options.	Service Manager' AD and directors			Monthly	<a href="#">On-going</a>

## Corporate Business Risk Register

<b>Risk Ref : 17</b>	<b>Delivering Regeneration</b>	<b>Owner: Robin Cooper</b>	<b>Portfolio Holder : Rodney Chambers</b>	<b>Current Risk Score: B2</b>	<b>Reviewed: Sep 2009</b>	
<a href="#">Link to Corporate Priority : Everyone benefiting from the area's regeneration</a>						
<b>Vulnerability</b>		<b>Trigger</b>		<b>Consequence</b>		
<p>The Council has been granted substantial Government funding to regenerate the area. The programme is planned to bring 50,000 people to Medway up to 40,000 jobs and 17,000 new homes in the next 20 plus years. Delays to the programme could result in allocated funding not being spent.</p> <p>There are challenges for the provision and maintenance of effective infrastructure. Particular areas of concern are highways and water capacity.</p> <p>It is vital the benefits are felt by the population of Medway, so that the new jobs are not filled by only people from outside the area.</p> <p>The programme could be significantly affected by the current economic down-turn.</p>		<p>The Council fails to achieve the economic, social and infrastructure regeneration agenda.</p>		<ul style="list-style-type: none"> <li>• Regeneration projects not completed</li> <li>• Not be able to spend funding</li> <li>• Potential damage to Council's reputation</li> <li>• Not able to meet member, government and the public's expectations</li> <li>• Deteriorating physical assets</li> <li>• Developers deterred</li> <li>• Investment wasted</li> <li>• Young people are not catered for in the 'new world'</li> <li>• Low skills base among some residents remains</li> <li>• Disconnect between skills and employment opportunities</li> <li>• Maintenance of low aspiration culture</li> <li>• New jobs unfilled or filled by non-local population</li> <li>• Increased commuting and pressure on transportation</li> <li>• Negative impact on community cohesion</li> </ul>		
<b>Action/controls already in place</b>	<b>Adequacy of action/control to address risk</b>	<b>Responsibility for action</b>	<b>Required management action/control</b>	<b>Critical success factors &amp; KPI's</b>	<b>Review frequency</b>	<b>Key dates (milestones &amp; deadlines)</b>
Regular meetings with stakeholders to consider the delivery plans.	Adequate	Director Regeneration, Community & Culture and AD Medway Renaissance		As detailed in individual delivery plans	Monthly	As detailed in individual delivery plans

## Corporate Business Risk Register

Action/controls already in place	Adequacy of action/control to address risk	Responsibility for action	Required management action/control	Critical success factors & KPI's	Review frequency	Key dates (milestones & deadlines)
Outline infrastructure needs identified.	Current plans will go some way to ensure that infrastructure is provided at basic level. Further action is required for on-going government funding and S106 contributions	Integrated Transport Manager	S106 policy to be reviewed ; inward investments needs to be assessed and an infrastructure plan drawn up.	Generation of funds to carry out the work and investors confidence	Quarterly	20 year development programme
Funding for detailed appraisal secured for 16 regeneration projects.		AD Development, Economy & Transport				
Communities & Local Government and Homes and Communities Agency alerted to the impact of lack of funding and dialogue opened with External Partners.	As above	AD Medway Renaissance	As above		Monthly	On-going
Innovative solutions are being investigated to deal with the challenges for the provision and maintenance of effective infrastructure. Particular areas of concern are highways and water systems.	<b>Adequate</b>	<b>AD Development, Transport &amp; Economy</b> , AD Frontline Services and AD Medway Renaissance	<b>Public Realm Strategy has been adopted by the Council.</b>  <b>A group established to take it forward</b>		<b>Monthly</b>	<b>On-going</b>

## Corporate Business Risk Register

<b>Risk Ref : 20</b>	<b>Flu Pandemic</b>	<b>Owner : Andy McGrath</b>	<b>Portfolio Holder: Rehman Chishti</b>	<b>Current Risk Score : C1</b>	<b>Reviewed : Sept 2009</b>
<b>Link to Corporate Priority : Putting our customers at the centre of everything we do and Safer Communities</b>					
<b>Vulnerability</b>		<b>Trigger</b>		<b>Consequence</b>	
Staff indirectly and directly employed by the Council. Contracted out services, closed communities, eg schools and residential care homes, Public events, Loss of revenue, closure of Medway facilities eg leisure centres		World Health Organisation Phase 6 UK Alert Level 2 – Virus isolated in the UK as virus spreads WHO Phase remains to the same but the UK Alert levels rise up to Alert Level 4 – Widespread activity across the UK.		<ul style="list-style-type: none"> <li>• Increased demands on social care both in residential environment and in support of people discharged from hospital</li> <li>• Financial implications from loss of events revenue</li> <li>• High levels of staff absence resulting in a reduced service delivery in some cases leading to a failure to deliver statutory services</li> <li>• Failure by contractors to meet their obligations</li> <li>• Central Government decision to close schools</li> <li>• Low staff moral and increased levels of stress</li> <li>• Failure of small businesses</li> <li>• Excess deaths in the community, leading to the Council managing and financing</li> <li>• Possible staff deaths</li> <li>• Possible disruption to the democratic process</li> <li>• Increased level of customer complaints</li> <li>• Requests for mutual support and sharing services with NHS , neighbouring local authorities</li> </ul>	

<b>Action/controls already in place</b>	<b>Adequacy of action/control to address risk</b>	<b>Responsibility for action</b>	<b>Required management action/control</b>	<b>Critical success factors &amp; KPI's</b>	<b>Review frequency</b>	<b>Key dates (milestones &amp; deadlines)</b>
Working with KCC, NHS, Medway PCT, Medway Maritime Hospital	Ongoing attendance at KRF Pandemic meetings. Work with Medway PCT to establish and plan local response	AD FLS, Head of Safer Communities/ Emergency Planning Children & Adult Services, AD Organisational Services, Director of RC&C	Continue operational meetings to prepare for any escalation or mutation of the virus over the winter period.	Volunteers provided to PCT since July and ongoing		<b>July 09</b>

## Corporate Business Risk Register

Action/controls already in place	Adequacy of action/control to address risk	Responsibility for action	Required management action/control	Critical success factors & KPI's	Review frequency	Key dates (milestones & deadlines)
Joint Kent Resilience Forum Managing Excess Deaths Plan. Also working with funeral directors on capacity issues for managing excess deaths.	Submitted to GOSE			New guidance issued need to work with local funeral directors, hospitals and crematorium to look for a local solution		First meeting Sept 09
Internal operations group established to consider and action Medway's response.	<b>Group includes representative from PCT</b>	<b>Director of Regeneration, Community &amp; Culture</b>			<b>Weekly meetings</b>	
Restoration of Compass Centre to operational readiness as anti-viral distribution centre should it be needed	<b>hand over of Compass Centre use.</b> July/August 09		Compass Centre exercise to test readiness, PCT lead	Volunteers provided for test date, 28 Aug 09		28 Aug 09
Service business continuity plans being prepared	Services should be able to continue to deliver services	Business Support Manager (RCC)	Review Corporate Recovery Plan priorities.		Quarterly	October 2009

## Corporate Business Risk Register

Risk Ref: 9a	Delivering the Transformation Agenda	Owner: Rose Collinson	Portfolio Holder : Tom Mason	Current Risk Score : C2	Reviewed : Sep 2009
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[Link to Corporate Priority : Older and vulnerable people maintaining their independence](#)

Vulnerability	Trigger	Consequence
<p>The population of older people is set to <b>considerably</b> increase.</p> <p>The expectations of vulnerable and older people and their families are rising.</p>	<p>The council and its partners do not change delivery mechanisms to provide personalised and cost effective options</p>	<ul style="list-style-type: none"> <li>• Costs spiral</li> <li>• Reductions in services customers receive</li> <li>• Regulatory intervention</li> </ul>

Action/controls already in place	Adequacy of action/control to address risk	Responsibility for action	Required management action/control	Critical success factors & KPI's	Review frequency	Key dates (milestones & deadlines)
Reconstituted Transformation Board being planned	<ul style="list-style-type: none"> <li>• Governance Structure</li> <li>• Effective and appropriate use of Social Care Reform Grant</li> </ul>	<ul style="list-style-type: none"> <li>• DASS</li> <li>• AD Social Care</li> </ul>		Delivery of transformation programme to quality within Government prescribed timescales	AD quarterly through ADQ	See agreed project Pis.

## Corporate Business Risk Register

<b>Risk Ref : 13</b>	<b>Equalities and diversity legislation</b>	<b>Owner: Stephanie Goad</b>	<b>Portfolio Holder : Janice Bamber</b>	<b>Current Risk Score : C2</b>	<b>Reviewed : Sep 2009</b>
<a href="#">Link to Corporate Priority : Putting our customers at the centre of everything we do</a>					
<b>Vulnerability</b>		<b>Trigger</b>	<b>Consequence</b>		
Ensuring the council complies fully with its duties under equalities legislation to carry out diversity impact assessments		A case is brought and the council is found to have failed its duties under equalities legislation	<ul style="list-style-type: none"> <li>• Cost to go to a tribunal</li> <li>• Not meeting people's needs</li> <li>• Impact on staff morale</li> <li>• Financial liability</li> <li>• Open to other claims</li> <li>• Seen as a poor employer</li> <li>• Loss of reputation</li> <li>• Adverse inspection</li> </ul>		

<b>Action/controls already in place</b>	<b>Adequacy of action/control to address risk</b>	<b>Responsibility for action</b>	<b>Required management action/control</b>	<b>Critical success factors &amp; KPI's</b>	<b>Review frequency</b>	<b>Key dates (milestones &amp; deadlines)</b>
Equalities action plans in place for each directorate. DMTs carrying out monitoring	Adequate	Directors	Regular monitoring to be built into DMT work programmes for reformed directorates Lead staff identified for each DMT to champion this process Equality and Access group reviewed sample of DIAs in August, will be ongoing.	% DIAs completed, reviewed and monitored	Quarterly	At each Equal Opps Core Value group meeting. Quarterly DMT review.

## Corporate Business Risk Register

Action/controls already in place	Adequacy of action/control to address risk	Responsibility for action	Required management action/control	Critical success factors & KPI's	Review frequency	Key dates (milestones & deadlines)
Policies on Cabinet forward plan given focused corporate support to ensure DIAs are completed	Adequate	AD communications, performance and partnerships  Directors	Programme for carrying out diversity impact assessments in place for all service areas and being carried out. Policies due to go to cabinet are not considered unless DIA has been carried out External support is now used to assist with major DIAs	All policy documents on forward plan given corporate support All policy documents have a robust DIA which is undertaken at an early stage in policy formation.	Quarterly	At each Equal Opps Core Value group meeting. Quarterly DMT review.
Diversity impact assessment training in place with additional tailored coaching and support available	Good	AD communications, performance and partnerships	Temporary support was secured, recruitment for permanent staff taking place in October	Permanent support in place  Where necessary Diversity Impact Assessments delivering improved outcomes for customers.	Quarterly	At each equal opps core value group meeting



## Corporate Business Risk Register

<b>Risk Ref : 16</b>	<b>Improvement Plan for Housing Service</b>	<b>Owner : Deborah Upton</b>	<b>Portfolio Holder : Howard Doe</b>	<b>Current Risk Score : D2</b>	<b>Reviewed: Sep 2009</b>
<a href="#">Link to Corporate Priority : Putting our customers at the heart of everything we do and Giving value for money</a>					
<b>Vulnerability</b>		<b>Trigger</b>		<b>Consequence</b>	
The Audit Commissions inspection of strategic housing services identified a number of issues including lack of staff resources, no understanding of value for money and lack of work carried out in private sector housing. Action taken fails to improve the service.		Poor re-inspection in November 2009 may result in intervention.		<ul style="list-style-type: none"> <li>• Potential negative impact on the community</li> <li>• Damage to Council's reputation for housing services.</li> <li>• Negative local publicity.</li> <li>• High profile service under the spotlight.</li> <li>• Impact on service delivery.</li> <li>• Complaints from residents.</li> <li>• Low staff morale.</li> <li>• Financial implications.</li> </ul>	

<b>Action/controls already in place</b>	<b>Adequacy of action/control to address risk</b>	<b>Responsibility for action</b>	<b>Required management action/control</b>	<b>Critical success factors &amp; KPI's</b>	<b>Review frequency</b>	<b>Key dates (milestones &amp; deadlines)</b>
Service has been brought together under an Assistant Director reporting to the Chief Executive	Identified as necessary under the Council's reorganisation.	AD Housing & Corporate Services	Action plan for the housing service	Indicators relating to the housing service are currently being reviewed to reflect the Corporate Performance Assessment, Local Area Agreement, Public Service Agreements and new set of government indicators.	On -going	<b>Completed</b>
Implementation of the action plan arising from housing inspection	All identified actions by the audit commission have been pulled into an action plan and all issues raised in the inspection should be dealt with through this mechanism.	AD Housing & Corporate Services, CMT & Cabinet	Regular ongoing monitoring of the action plan by the AD, CMT and Cabinet.		Monthly	1 <sup>st</sup> April 2009

## Corporate Business Risk Register

<b>Risk Ref : 2</b>	<b>Business Continuity and Emergency planning</b>	<b>Owner: Robin Cooper</b>	<b>Portfolio Holder : Alan Jarrett</b>	<b>Current Risk Score: D2</b>	<b>Reviewed: Sep 2009</b>
<a href="#">Link to Corporate Priority : Safer Communities</a>					
<b>Vulnerability</b>		<b>Trigger</b>	<b>Consequence</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 fire, flood, loss of utility supplies and accidental or malicious damage of assets or resources.</p>		An adverse event occurs and the Council is found wanting or negligent in its planning and/or operational response.	<ul style="list-style-type: none"> <li>• Response to event is not rapid, adequate nor effective.</li> <li>• A death, or deaths, in the community</li> <li>• Essential service priorities not clearly understood.</li> <li>• Communication between agencies and the public is poor.</li> <li>• Residents expect more from their Council</li> <li>• Negative publicity</li> <li>• Comparisons made with other local authorities and resilience groups</li> <li>• Public enquiry</li> <li>• Legal challenge under the 'Civil Contingencies Act 2004 in relation to emergency planning and business continuity.</li> </ul>		

<b>Action/controls already in place</b>	<b>Adequacy of action/control to address risk</b>	<b>Responsibility for action</b>	<b>Required management action/control</b>	<b>Critical success factors &amp; KPI's</b>	<b>Review frequency</b>	<b>Key dates (milestones &amp; deadlines)</b>
Risk Profile for Medway being drafted to inform planning	The current Major Emergency Plan would be used inform the risk profile and other actions/controls are needed to maintain an adequate response capacity, which is the product of the planning process.	Emergency Planning Team	Continue the review process in light of new government guidance	NI37 Awareness of civil protection arrangements in the local area CO DSO	On-going	Sept 09
Revision of Emergency plan taking place			CMT agreement on changes	Revised plan agreed by CMT/Members		Aug 2010
Emergency response capability being put into place after loss of designated centre		EP team with IT support		Equipped operational Centre to respond from to provide a Council GOLD and Silver command		Aug 2010

## Corporate Business Risk Register

Action/controls already in place	Adequacy of action/control to address risk	Responsibility for action	Required management action/control	Critical success factors & KPI's	Review frequency	Key dates (milestones & deadlines)
Ongoing work to completely review premises to be used as Rest Centres and		EP team	Agreement by Chief Executive as it relates to the Council's duty in relation to homelessness.	Reviewed List of premises that have agreed to use as Rest Centres		Jan 2010
On-going work to staff to run rest centres		EP team, leisure centre service manager, social care, housing, environmental health				Sept 09 ongoing
Working on Flood Plan following recommendations on the Pitt Review		EP team	Agreement by Director of RC&C	Medway specific flood plan		March 2010
Ongoing work to identify vulnerable people		Ep team, social care, education	Agreement by Director of Children's Services	Ability to identify those people, premises that may be vulnerable in an emergency and require special consideration.		October 2009
Public awareness event		EP team		Event held		March 2009
Agreement that all services will develop a business continuity plan	Work programme in place to implement the actions	Business & Quality Assurance Manager together with CMT; ADs and Service Managers	Relevant information to be extracted from plans to inform CRP and IT recovery Plan	All services will have a Effective Business Continuity Plan	Monthly	Autumn 2009
Development of a draft Corporate Recovery Plan			Plan to be tested Autumn 2009		Quarterly reports to CMT	Autumn 2009

## Corporate Business Risk Register

<b>Risk Ref : 7</b>	<b>Workforce Planning &amp; Capacity</b>	<b>Owner : Neil Davies</b>	<b>Portfolio Holder: Janice Bamber</b>	<b>Current Risk Score : D2</b>	<b>Reviewed Sep 2009</b>
<a href="#">Link to Corporate Priority : Giving Value for Money</a>					
<b>Vulnerability</b>		<b>Trigger</b>	<b>Consequence</b>		
<p>Medway is a comparatively lean organisation, in particular, at a senior level.</p> <p>Insufficient capacity to deliver services.</p> <p>There is a perception of a dependency on key individuals in some positions.</p> <p>The need to transform services is increasing and this requires significant changes to the workforce.</p> <p>Some see a deficiency of critical skills e.g. project and change management and variability in the quality of middle management</p> <p>The workforce is ageing and there is a need for succession planning.</p>		<p>Medway does not have enough of the right people in the right job at the right time</p>	<ul style="list-style-type: none"> <li>• Insufficient capacity to deliver services</li> <li>• Too much is required of key people</li> <li>• Service quality struggles</li> <li>• Insufficient capacity to manage change</li> <li>• Some members of staff skill sets do not match those required for the job they are in</li> <li>• Talented people are not identified, encouraged and coached to be Medway's future leaders</li> <li>• Talented people feel under utilised, or frustrated, in their current role and leave</li> <li>• Some staff 'move out to move on'</li> <li>• Inertia and resistance to change</li> <li>• Some staff 'burn out'</li> <li>• Levels of stress and staff absenteeism</li> </ul>		

<b>Action/controls already in place</b>	<b>Adequacy of action/control to address risk</b>	<b>Responsibility for action</b>	<b>Required management action/control</b>	<b>Critical success factors &amp; KPI's</b>	<b>Review frequency</b>	<b>Key dates (milestones &amp; deadlines)</b>
Currently developing a new people strategy which will encompass workforce development	Will need to ensure new strategy reflects: <ul style="list-style-type: none"> <li>- Change management</li> <li>- Project management</li> <li>- Succession planning</li> <li>- Workforce planning arrangements</li> <li>- Competencies</li> <li>- Becoming and employer of choice</li> <li>- Data quality</li> </ul>	AD Organisational Services	CEX and Directors to support workforce planning and development activities within their directorates. Reporting arrangements for workforce planning and development are included in DMT's and services	<ul style="list-style-type: none"> <li>• Staff turnover</li> <li>• Sickness absence levels</li> <li>• Levels of Qualification</li> </ul>	Quarterly	The draft strategy will be considered by Employment Matters Committee on 9 Sept 2009