

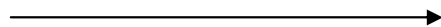
CORPORATE RISK REGISTER

RISK MATRIX - STRATEGIC PROFILE FOR SEPTEMBER 2010

Likelihood

<b>A</b>			19, 21	3b
<b>B</b>			8a, 9b, 13, 17,	24
<b>C</b>			4, 9a, 23	
<b>D</b>			2	22
<b>E</b>				
<b>F</b>				
	<b>IV</b>	<b>III</b>	<b>II</b>	<b>I</b>

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 RISK REGISTER

SR 03b	Finances - longer term	Owner	Chief Finance Officer	Finance & Deputy Leader's Portfolio	Current Risk Score	A	I	Reviewed	Sep 2010
<b>Link to Corporate Priority</b>		<b>Giving Value for Money</b>							
<b>Vulnerability</b>			<b>Trigger</b>		<b>Consequences</b>				
The Medium Term Financial Plan identifies both significant cost pressures for the Council and a strong likelihood of unprecedented cuts in cost funding over the next 4 years			a) Announcement of Comprehensive Spending Review in October 2010 and settlement detail in December 2010		<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>- VFM Judgement</li> <li>- Tensions within the Authority around the purpose of the Council</li> <li>- Negative local publicity.</li> <li>- Damage to reputation.</li> </ul>				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring			
SR 03b.01	Need to ensure effective response/lobbying to Govt proposals for CSR and settlement and target media campaign in support	Chief Finance Officer	Co-ordinate responses with members, Brief MP's, Agree media campaign, Solicit support from peer authorities/partnerships.	VFM Judgement - adequacy of financial planning, effective budgetary control.	On-going	Six monthly			
SR 03b.02	Align priorities and activity of the council to resource availability through MTFP process.	Corporate Management Team	Co-ordinate responses with members, agree media campaign, solicit support from peer authorities and partners.	VFM Judgement - adequacy of financial planning, effective budget control, balanced budget and adequacy of reserves.	September to February 2011 for 2011/12 Budget and Council Tax. Ongoing for 2012-2014	6 monthly then monthly from September onwards			

## CORPORATE RISK REGISTER

<b>SR 19</b>	<b>Down turn in the economy</b>	<b>Owner</b>	<b>Neil Davies</b>	<b>Finance &amp; Deputy Leader's Portfolio</b>	<b>Current Risk Score</b>	<b>A</b>	<b>II</b>	<b>Reviewed</b>	<b>Sep 2010</b>
<b>Link to Corporate Priority</b>		<b>Giving Value for Money</b>							
<b>Vulnerability</b>			<b>Trigger</b>		<b>Consequences</b>				
A continual downturn in economic conditions would impact upon the Council's ability to: 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. b) deliver the capital programme c) raise as much income as forecast through fees and charges take forward Medway's regeneration and educational agenda			A worsening global economic climate that impacts upon Medway		<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>- VFM Judgement 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>				
Code	Description	Managed By	Desired Outcome	Output	Milestones/Pis	Monitoring			
SR 19.01	Regular monitoring of economic downturn by Corporate Management Team and Medway Economic Board	Director of Regeneration, Community and Culture	Performance indicators on downturn examined regularly	Continue to assess the situation	- Council income; - Planning and Building Control applications; - Vacancy rates; Houses under construction; Benefit take-up; Leisure income	Quarterly			
SR 19.02	Medway Plan for local businesses	Director of Regeneration, Community and Culture	Helping local businesses to survive the recession.	Continue to assess the situation	- all invoices paid in 20 days - Opportunities for local firms to bid for contracts	Monthly			
SR 19.03	Working with partners to deliver a 2 month benefit take-up campaign	Chief Finance Officer	Increase in numbers taking up benefits	Continue to assess the situation	N181-Time taken to process Housing Benefit/Council Tax Benefit new claims and change events DWP DSO	Monthly			
SR 19.04	Review investment strategy	Chief Finance Officer	Assess funding streams and adjust spending priorities	Continue to assess the situation	Capital monitoring reports	Monthly			
SR 19.05	Regular reports on capital programme to Management and Members	Chief Finance Officer	Reports based on historic data forecast to end of year position	<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>	Monitoring reports	Quarterly			

## CORPORATE RISK REGISTER

SR 21	Procurement	Owner	Housing & Corporate Services (AD)	Finance & Deputy Leader's Portfolio	Current Risk Score	A	II	Reviewed	Sep 2010
Link to Corporate Priority		Giving Value for Money							
Vulnerability			Trigger		Consequences				
Procurement processes are not consistently applied across the council.			- Complaints/challenge from tenders to procurement decisions. - Audit reviews reveal weaknesses		<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>- VFM judgement 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>				
Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs		Monitoring		
SR 21.01	Member chaired Procurement Board and AD led Officer Scrutiny Panel that meets every three weeks	Housing & Corporate Services (AD)	To deliver the Procurement Strategy	Procurement Board meets every three weeks			Every 3 weeks		
SR 21.02	Forward Procurement Plans in place for each directorate	Directors	Timely commencement of procurement ensuring contracts are in place	Plans monitored by the Board every 3 weeks			Every 3 weeks		
SR 21.03	Create a contracts register	Directors	A contracts register that records all contracts currently in place and date due to finish	Exploration of methods to collect data to populate register					
SR 21.04	Review of procurement processes	Procurement Team	To ensure processes continue to be fit for purpose.	<ul style="list-style-type: none"> <li>- Revised process considered by Officer Scrutiny Panel (OSP) in November 2009</li> <li>- New process to be tested during December &amp; January</li> <li>- Final version to OSP February 2010</li> </ul>			3 weekly		
SR 21.05	Training in revised procurement procedures	Procurement Team	All staff involved in procurement will understand and be able to use revised procurement processes and procedures	Refresher training for officers involved in procurement.			3 weekly		

## CORPORATE RISK REGISTER

<b>SR 24</b>	<b>Managing Change</b>	<b>Owner</b>	<b>Neil Davis</b>	<b>Customer First &amp; Corporate Services Portfolio</b>	<b>Current Risk Score</b>	<b>B</b>	<b>I</b>	<b>Reviewed</b>	<b>Sep 2010</b>
<b>Link to Corporate Priority</b>		<b>Giving Value for Money</b>							
<b>Vulnerability</b>			<b>Trigger</b>		<b>Consequences</b>				
<p>The council will receive less money from central government and will need to change radically over the coming months and years in response to this challenge. This will require us to systematically review the council and identify opportunities for us to be even more efficient and productive</p> <p>The organisation will have to downsize whilst at the same time retain key skills and generate new ones around things like flexibility, commissioning, influencing and partnering.</p> <p>It is also required to take the lead on public health issues and discussions are now underway.</p> <p>We need to plan for changes in the delivery of education specifically through free schools and the new academies.</p>			<p>Announcement of Comprehensive Spending Review in October 2010 and settlement detail in December 2010.</p> <p>White Paper on NHS Health reforms</p>		<ul style="list-style-type: none"> <li>- Budget challenges will exacerbate</li> <li>- Radical efficiency gains lost</li> <li>- Economies of scale not achieved.</li> <li>- Opportunities for income generation are missed.</li> <li>- Opportunities for shared and devolved service provision are missed.</li> <li>- Medway marginalised</li> <li>- Service delivery compromised</li> <li>- Insufficient capacity to deliver services</li> <li>- Inefficient use of staff budgets</li> <li>- Increased levels of stress and staff absenteeism</li> </ul>				

Code	Description	Managed By	Desired Outcome	Output	Milestones/Pis	Monitoring
SR 24.01	Shaping the future of Medway Council	Corporate Management Team	Delivering all aspects of the 'Achieving better for less' project and planning for taking over some of the NHS Medway functions and losing responsibility for some schools.	<ul style="list-style-type: none"> <li>- VFM/PWC project</li> <li>- Explore opportunities for shared services</li> <li>- Service managers identify alternative ways of delivering their services</li> <li>- Increasing income</li> </ul>	<ul style="list-style-type: none"> <li>- Outline Business Cases available 01/10/10</li> <li>- Final PWC report to project Board 20/10/10</li> <li>- Star Chamber end of October 2010</li> <li>- Cabinet report on Public Health September 2010</li> </ul>	<p>Weekly</p> <p>Monthly</p>
SR 24.02	Develop a workforce capable of responding to a changing environment	Organisational Services (AD)	Services continue to adapt and change	Comprehensive programme change management supported by management policy.	Revised Workforce plan in place by March 2011. Directorate Workforce Plans in place by December 2011	Quarterly
SR 24.03	Comprehensive communications plan	Corporate Management Team	Staff informed and involved	<ul style="list-style-type: none"> <li>- Dedicated interactive intranet site</li> <li>- Fortnightly updates from Chief Executive</li> </ul>	On-Going	Weekly

## CORPORATE RISK REGISTER

SR 08a	Partnership working	Owner	Communications, Performance & Partnerships (AD)	Customer First & Corporate Services Portfolio	Current Risk Score	B	II	Reviewed	Sep 2010
<b>Link to Corporate Priority</b>		<b>Giving Value for Money</b>							
<b>Vulnerability</b>			<b>Trigger</b>		<b>Consequences</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 as all agencies respond to cuts in public spending. Changes in national policy with the lessening of prescription around partnership arrangements in some areas eg childrens trust and community safety partnership, will give the council and partners greater flexibility. The risk is that without prescription and in the context of reduced spending, agencies will retrench into silo working. Other national changes in relation to health and education pose potential risks to partnership working.			<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>- Sustainable community strategy and other key partnership 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>				
Code	Description	Managed By	Desired Outcome	Output	Milestones/Pis	Monitoring			
SR 08a.01	LSP has been reviewed with new Board in place which engages all key decision makers in Medway	Communications, Performance & Partnerships (AD)	New Local Strategic Partnership structure works effectively	<ul style="list-style-type: none"> <li>- All partners routinely attend and participate in Board and relevant thematic partnership meetings</li> <li>- Evidence of LSP partners aligning SCS priority actions into their own strategies and key plans</li> </ul>	OPM are supporting the review of LSP partnership working. Board discussed design principles at its meeting in September 2010. Finalised new ways of working to be agreed November 2011 for immediate implementation.	Post implementation review of changes Nov 2011			
SR 08a.05	Clarity of processes and procedures for setting managing and monitoring budgets operated by one organisation on behalf of both	Director of Children and Adults	Protocols to be set out in original agreements to pool budgets or combine services or take on lead commissioning responsibilities	Clarity of processes and procedures for setting managing and monitoring budgets operated by one organisation on behalf of both	At time of signing agreements				

## CORPORATE RISK REGISTER

<b>SR 09b</b>	<b>Keeping vulnerable young people safe and on track</b>	<b>Owner</b>	<b>Rose Collinson</b>	<b>Children's Services and Children's Care Portfolios</b>	<b>Current Risk Score</b>	<b>B</b>	<b>II</b>	<b>Reviewed</b>	<b>Sep 2010</b>
<b>Link to Corporate Priority</b>		<b>Children and Young People Having the Best Start in Life</b>							
<b>Vulnerability</b>			<b>Trigger</b>		<b>Consequences</b>				
<ul style="list-style-type: none"> <li>- There are challenges to the demand-led children services within Medway.</li> <li>- There are more, younger, people coming into the system with intensive support SEN needs.</li> <li>- These services represent major components of the Councils funding provision.</li> <li>- National and local evidence base that Children and Young people in care are more vulnerable to poorer outcomes</li> <li>- Changes in the youth justice system requiring new skills set within existing practitioners.</li> </ul>			The Council is unable to address these issues with cost effective, innovative solutions.		<ul style="list-style-type: none"> <li>- More and more resource 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>				
<b>Code</b>	<b>Description</b>	<b>Managed By</b>	<b>Desired Outcome</b>	<b>Output</b>	<b>Milestones/Pis</b>			<b>Monitoring</b>	
SR 09b.01	Since the beginning of the financial year the numbers of looked after children has steadily risen to a record level of 382 at the end of August. In part this is due to the requirement for Local Authorities to look after vulnerable 16-18 year olds following the 'Southwark' judgement. This has resulted in a significant rise in spend.	Children's Care (AD)	Service is delivered within budgetary constraints whilst maintaining the safety of children and young people.	- Needs of children and young people looked after by the Council are met to ensure best outcomes possible for them. - Family Group conferencing impacts on reduced numbers of young people entering care system.	- The January report to the corporate parenting group - Monthly performance digest reported to GOSE			Reviewed monthly	
SR 09b.03	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.	Children's Care (AD)	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.	- 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.	Internal and external review and NIs demonstrate risk to vulnerable children and young people is being effectively managed			Monthly	

## CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 09b.04	A 5 year SEN Strategy setting out milestones towards more inclusive, VFM, local provision to meet the needs of CYP with SEN, has been developed.	Inclusion (AD)	Ensuring service delivered within budgetary constraints	Strategy adopted by Cabinet in January 2010 and provision is being developed.	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.
SR 09b.05	Ensure practitioners are equipped to be compliant with changes in the Youth Justice system and that monitoring systems are in place to track this.	Inclusion (AD)	- Lower numbers of first and repeat entrants to the YJS. - Lower number of custodial and repeat custodial sentences. - Effective analysis of data to inform practitioners input. - Ensuring service delivered within budgetary constraints.	Performance is monitored monthly (proxy figures) and quarterly (YJB information) 1: 1 meetings with Head of Service	December and subsequent report to YOT management board will show the YOT's response to the new CJSSS and Youth Rehabilitation order. September 2010 YOT management board will have analysis of offenders to inform service delivery.	The number of YOT clients are reviewed monthly and quarterly with reports being taken to the YOT management board (chaired by CEO)



CORPORATE RISK REGISTER

<b>SR 13</b>	<b>Equality and diversity</b>	<b>Owner</b>	<b>Communications, Performance &amp; Partnerships (AD)</b>	<b>Customer First &amp; Corporate Services Portfolio</b>	<b>Current Risk Score</b>	<b>B</b>	<b>II</b>	<b>Reviewed</b>	<b>Sep 2010</b>
<b>Link to Corporate Priority</b>		<b>Putting Our Customers At The Centre of Everything we do</b>							
<b>Vulnerability</b>			<b>Trigger</b>		<b>Consequences</b>				
Ensuring the council complies fully with its duties under equalities legislation to carry out diversity impact assessments. Public sector spending cuts allied with the passing of the Equality Act 2010, increase the profile of equalities issues and the potential for claims, including court action, if DIA processes are not rigorous. The effectiveness of DIAs is dependent upon services routinely gathering equalities data about the patterns of usage of their service and the difference they make.			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>- Financial liability / court action</li> <li>- Seen as a poor employer</li> <li>- Loss of reputation</li> <li>- Adverse inspection for children and adults services</li> </ul>				
<b>Code</b>	<b>Description</b>	<b>Managed By</b>	<b>Desired Outcome</b>	<b>Output</b>		<b>Milestones/Pis</b>		<b>Monitoring</b>	
SR 13.02	Policies on Cabinet forward plan given focused corporate support to ensure DIAs are completed	Communications, Performance & Partnerships (AD)	All policy documents have a robust DIA which is undertaken at an early stage in policy formation.	<ul style="list-style-type: none"> <li>- Programme for carrying out diversity impact assessments in place for all service areas and being carried out.</li> <li>- Policies due to go to cabinet are not considered unless DIA has been carried out</li> <li>- Item on agenda of meetings for Equal Opportunities Core Value Working Group - DIA review group is now established to improve consistency of DIA's across the authority, Positively, external inspectors have described the DIA process as sound.</li> </ul>				Quarterly	

## CORPORATE RISK REGISTER

<b>SR 17</b>	<b>Delivering regeneration</b>	<b>Owner</b>	<b>Robin Cooper</b>	<b>Leader's Portfolio</b>	<b>Current Risk Score</b>	<b>B</b>	<b>II</b>	<b>Reviewed</b>	<b>Sep 2010</b>
<b>Link to Corporate Priority</b>		<b>Everyone Benefitting from the Areas Regeneration</b>							
<b>Vulnerability</b>			<b>Trigger</b>		<b>Consequences</b>				
<p>The Council has been granted substantial Government funding to regenerate the area. The programme is planned to bring 30,000 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 at the end of the 3 year funding programme, March 2011.</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 will be significantly affected by the current economic down-turn. At present funding for future regeneration is uncertain.</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>Code</b>	<b>Description</b>	<b>Managed By</b>	<b>Desired Outcome</b>	<b>Output</b>	<b>Milestones/Pis</b>		<b>Monitoring</b>		
SR 17.01	Outline infrastructure needs identified.	Director of Regeneration, Community and Culture	Completion of establishment of a S106 policy and Inward investments	- Funding for detailed appraisal secured for 16 regeneration projects	- On-going government funding and S106 contributions - Generation of funds to carry out the work and investors confidence; - 20 year development programme		Quarterly		
SR 17.02	Homes and Communities Agency (HCA) alerted to the impact of lack of funding and dialogue opened with External Partners.	Director of Regeneration, Community and Culture	CLG will confirm funding commitments	Funding identified to continue regeneration.	Regeneration plans are outlined in Medway Renaissance Annual report are met.		Quarterly		
SR 17.04	Regular meetings with stakeholders to consider the delivery plans	Director of Regeneration, Community and Culture	Delivery plans are implemented on time and to budget	Investors come forward for regeneration sites.	As detailed in individual delivery plans		monthly		

CORPORATE RISK REGISTER

SR 04	Performance Management	Owner	Communications, Performance & Partnerships (AD)	Customer First & Corporate Services Portfolio	Current Risk Score	C	II	Reviewed	Sep 2010
<b>Link to Corporate Priority</b> Giving Value for Money									
<b>Vulnerability</b>			<b>Trigger</b>		<b>Consequences</b>				
There have been in the past concerns that performance is not consistently managed across the council. The Council has introduced a comprehensive performance management (and business planning) framework. The major risk is that the removal of CAA could lead to less priority and focus being given to effective management of performance - at council wide and service levels.			The council fails to embed a robust performance management system		<ul style="list-style-type: none"> <li>- Council is not clear on what it wants to achieve so cannot demonstrate difference it is making to the public</li> <li>- Customers do not receive the services they need</li> <li>- Silo-ism reinforced</li> <li>- Rate of improvement is impeded</li> <li>- Not getting Value for Money or able to evidence it</li> </ul>				
Code	Description	Managed By	Desired Outcome	Output	Milestones/Pis	Monitoring			
SR 04.04	Assess adequacy of performance management arrangements against new CAA criteria.	Communications, Performance & Partnerships (AD)	Positive audit feedback	<ul style="list-style-type: none"> <li>- Development plans reviewed in light of confirmed CAA changes.</li> <li>- CAA Action Group established and meet monthly</li> <li>- Action plan developed and monitored each meeting - Work continues. During Q3 the council received 3 for managing performance.</li> </ul>	- Audit Commission and external auditors note progress in terms of developing performance culture and more systematic use of the council's performance management framework. Work programme for 2010/2011 being developed that will focus on strengthening outcome focus of the council's performance management arrangements.	Monthly			
SR 04.05	Detailed scrutiny of targets		- More detailed scrutiny of underperforming (red rated) targets to take place by senior officers, cabinet and O&S	Council Plan outcomes are used as key management tool to drive performance improvement. Positive performance trend	Quarterly monitoring reports. More detailed assessment being undertaken by CMT. O&S considered red targets in last meeting cycle - variable success. Standard methodology to be developed to support the committee.	Quarterly			

## CORPORATE RISK REGISTER

<b>SR 09a</b>	<b>Delivering the Transformation Agenda</b>	<b>Owner</b>	<b>Rose Collinson</b>	<b>Adult Services Portfolio</b>	<b>Current Risk Score</b>	<b>C</b>	<b>II</b>	<b>Reviewed</b>	<b>Sep 2010</b>
<b>Link to Corporate Priority</b> <b>Older and Vulnerable People Maintaining Their Independence</b>									
<b>Vulnerability</b>				<b>Trigger</b>		<b>Consequences</b>			
<ul style="list-style-type: none"> <li>- The population of older people is set to considerably increase.</li> <li>- The expectations of vulnerable and older people and their families are rising.</li> </ul>				Delivering the Transformation Agenda within Government prescribed timescales		<ul style="list-style-type: none"> <li>- Costs spiral</li> <li>- Reductions in service customers receive</li> <li>- Regulatory intervention</li> </ul>			

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 09a.01	Effective partnerships with people using services, carers and other local citizens	Social Care (AD)	Formal and informal structures in place to allow citizens, user and carer representatives to contribute to the local design and delivery of social care transformation.	<ul style="list-style-type: none"> <li>- Plans in place to meet the DH target of a User-led Organisations (ULO) in place by the end of 2010.</li> <li>- Users of personal budgets are directly involved in the developments of Personal Budgets.</li> <li>- People using care and support are being directly involved to co-produce transformation.</li> <li>- Medway DVD has been produced and is included in new Adult Social Care Handbook, due to be distributed to the public and service providers in February 2010.</li> </ul>	<p><b>April 2010</b> - A communication made to the public including all current service users and to all local stakeholders about the transformation agenda and its benefits.</p> <p><b>October 2010</b> - Local service users understand the changes to personal budgets and that many are contributing to the development of local practice.</p> <p><b>December 2010</b> - Council areas have at least one user-led organisation who are directly contributing to the transformation to personal budgets.</p>	Monthly
SR 09a.02	Self-directed support and personal budgets	Social Care (AD)	Systems in place to allow citizens who require social care support to easily find and choose quality support, and control when and where services are provided and by whom.	<ul style="list-style-type: none"> <li>- We have started to use issue personal budgets</li> <li>- On course to achieve the LAA target of 7% for NI 130 for 09/10. Currently performance for Q3 is 6.73%</li> <li>- The mechanism in use for 09/10 is the Interim Customer Pathway (triggered by reviews of existing customers).</li> </ul>	<p><b>April 2010</b> - The Council has introduced personal budgets, which are being used by existing or new service users/carers.</p> <p><b>October 2010</b> - All new service users/carers (with assessed need for on-going support) are offered a personal budget.</p> <p><b>October 2010</b> - All service users whose care plans are subject to review are offered a personal budget.</p> <p><b>April 2011</b> - At least 30% of eligible service users/carers have a personal budget.</p>	Monthly

## CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
SR 09a.03	Prevention and cost effective services	Social Care (AD)	<ul style="list-style-type: none"> <li>- Support available to enable citizens requiring help to stay independent for as long as possible</li> <li>- Council-wide and partnership approaches to universal services</li> </ul>	<ul style="list-style-type: none"> <li>- Local initiatives to deliver prevention and early intervention are underway, and led by social care e.g. MEAPS (Medway Enablement &amp; Prevention Service).</li> <li>- Initial Intake Team, Dementia Project, Extra Care Housing, Well-being fund. Health and Social Care partners intend to write a joint strategy for Health and Well-being in Medway, as referenced in the OP joint commissioning strategy.</li> </ul>	<p><b>April 2010</b> - The council has a clear strategy, jointly with health, for how it will shift some investment from reactive provision towards preventative and enabling/ rehabilitative interventions for 2010/11. Agreements should be in place with health to share the risks and benefits to the 'whole system'.</p> <p><b>October 2010</b> -That processes are in place to monitor across the whole system the impact of this shift in investment towards preventative and enabling services. This will enable efficiency gains to be captured and factored into joint investment planning, especially with health.</p> <p><b>April 2011</b> - That there is evidence that cashable savings have been released as a result of the preventative strategies and that overall social care has delivered a minimum of 3% cashable savings.</p> <p><b>April 2011</b> -There should also be evidence that joint planning has been able to apportion costs and benefits across the 'whole system'.</p>	monthly
SR 09a.04	To make easily available relevant information and advice	Social Care (AD)	<ul style="list-style-type: none"> <li>- All citizens are able to easily find locally relevant quality information and advice about their care and support needs in order to enable control and inform choice.</li> <li>- The development of a single coherent service strategy.</li> </ul>	<ul style="list-style-type: none"> <li>- 21 January 2010 - the UIAG group met to progress the development of the strategy. - Adult Social Care Handbook that incorporates a locally developed DVD about Personal Budgets. This is a small step to developing multi-media information for people with social care needs.</li> </ul>	<p><b>April 2010</b> - The Council has a strategy in place to create universal information and advice services.</p> <p><b>October 2010</b> - The Council has put in place arrangements for universal access to information and advice.</p> <p><b>April 2011</b> - The public are informed about where they can</p>	monthly

## CORPORATE RISK REGISTER

Code	Description	Managed By	Desired Outcome	Output	Milestones/PIs	Monitoring
					go to get the best information and advice about their care and support needs.	
SR 09a.05	Commissioning strategies that incentivise development of diverse and high quality services, and balance investment in prevention, early intervention/reablement with provision of care and support for those with high-level complex needs.	Social Care (AD)	The development of a diverse and high quality market in care and support services to offer real choice and control to service users and their carers.	<ul style="list-style-type: none"> <li>- The Council is establishing a market development group, which will contribute to the co-production of a market development strategy.</li> <li>- A market development questionnaire has been developed, distributed and returned. The information will contribute to profiling the market as a benchmark.</li> <li>- Medway wide Providers Forum and market development events led by GL.</li> <li>- Developing arrangements to support new and existing businesses through the Council's mainstream Business Development Unit.</li> <li>- Clear links between adults social care transformation and the NHS local services commissioning in the Older People's Strategy and the Carers Strategy.</li> <li>- Synergies between adult social care and NHS commissioning are recognised in current partnerships.</li> <li>- Contracted services continue to be needs led.</li> </ul>	<p><b>April 2010</b> - Councils and PCTs have commissioning strategies that address the future needs of their local population and have been subject to development with all stakeholders especially service users and carers; providers and third sector organisations in their areas. These commissioning strategies take account of the priorities identified through their JSNAs.</p> <p><b>October 2010</b> - Providers and third sector organisations are clear on how they can respond to the needs of people using personal budgets.</p> <p><b>October 2010</b> - An increase in the range of service choice is evident.</p> <p><b>October 2010</b> - The Council has clear plans regarding the required balance of investment to deliver the transformation agenda.</p> <p><b>April 2011</b> - Stakeholders are clear on the impact that purchasing by individuals, both publicly (personal budgets) and privately funded, will have on the procurement of councils and PCTs in such a way that will guarantee the right kind of supply of services to meet local care and support needs.</p>	monthly

CORPORATE RISK REGISTER

<b>SR 23</b>	<b>Improvement Plan for Housing Service (HRA)</b>	<b>Owner</b>	<b>Deborah Upton</b>		<b>Current Risk Score</b>	<b>C</b>	<b>II</b>	<b>Reviewed</b>	<b>Sep 2010</b>
<b>Link to Corporate Priority</b>		<b>Putting Our Customers At The Centre of Everything we do</b>							
<b>Vulnerability</b>			<b>Trigger</b>		<b>Consequences</b>				
A peer review of HRA housing services identified a number of issues which could result in the Council receiving a poor inspection score. Action taken fails to improve the service			Poor inspection may result in intervention or an enforced transfer of management		<ul style="list-style-type: none"> <li>- Potential negative impact on the community</li> <li>- Damage to the 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 - Financial implications</li> </ul>				
<b>Code</b>	<b>Description</b>	<b>Managed By</b>	<b>Desired Outcome</b>	<b>Output</b>	<b>Milestones/Pis</b>		<b>Monitoring</b>		
SR 23.01	Implementation of the HRA improvement plan	Housing & Corporate Services (AD)	Actions will improve the service	All identified actions by the peer review have been developed into an action plan and issues will be dealt with through this mechanism.	Actions completed by end of December 2010		Monthly by Housing DMT, Key actions quarterly by CMT		

## CORPORATE RISK REGISTER

<b>SR 22</b>	<b>Treasury Management</b>	<b>Owner</b>	<b>Chief Finance Officer</b>	<b>Finance &amp; Deputy Leader's Portfolio</b>	<b>Current Risk Score</b>	<b>D</b>	<b>I</b>	<b>Reviewed</b>	<b>Sep 2010</b>
<b>Link to Corporate Priority</b>		<b>Giving Value for Money</b>							
<b>Vulnerability</b>			<b>Trigger</b>		<b>Consequences</b>				
a) The Council could lose money as happened to other local authorities when financial institutions fail. b) Unexpected changes in interest rates.			Loss of resources due to external events beyond the Council's control		<ul style="list-style-type: none"> <li>- Loss of resources</li> <li>- Damage to reputation.</li> <li>- Negative publicity</li> <li>- VFM Judgement jeopardised</li> <li>- Increased pressure on existing resources</li> <li>- Reduction/cuts to services</li> <li>- Quality of service compromised.</li> <li>- Relationship with partners may deteriorate</li> </ul>				

Code	Description	Managed By	Desired Outcome	Output	Milestones/Pis	Monitoring
SR 22.02	Review the treasury management strategy and performance	Chief Finance Officer	Highlight any areas of concern that have arisen since the original strategy was approved	The Outturn report in June. Mid-year report in November. Monthly budget monitoring reports.	<ul style="list-style-type: none"> <li>- Cost of external debt.</li> <li>- Breaches of policy - Interest earned on investments.</li> </ul>	6 monthly
SR 22.03	Monitoring reports and regular review by members in both executive and scrutiny functions	Chief Finance Officer	To ensure that those with responsibility for the treasury management function appreciate the implications of treasury management policies and activities, and that those implementing policies and executing transactions have properly fulfilled their responsibilities with regard to delegation and reporting	<ul style="list-style-type: none"> <li>• Enhanced member involvement, understanding, responsibility and scrutiny.</li> <li>• Training for officers and members</li> </ul>	Member training carried out Feb 2010, Next Member training due at the reporting stage of mid year review. On-going officer training	As & when required



## CORPORATE RISK REGISTER

<b>SR 02</b>	<b>Business continuity and emergency planning</b>	<b>Owner</b>	<b>Robin Cooper</b>	<b>Finance &amp; Deputy Leader's Portfolio</b>	<b>Current Risk Score</b>	<b>D</b>	<b>II</b>	<b>Reviewed</b>	<b>Sep 2010</b>
<b>Link to Corporate Priority</b>		<b>Safer Communities</b>							
<b>Vulnerability</b>			<b>Trigger</b>		<b>Consequences</b>				
Duties under the Civil Contingencies Act require Councils to have an Emergency Plan. The Emergency Management and Response Structure may not be robust enough to respond to a major emergency.  Every business activity is at risk of disruption from a variety of threats, which vary in magnitude from catastrophic through to trivial, and include fire, flood, loss of utility supplies and accidental or malicious damage of assets or resources.			A significant 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>- 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>- Residents expect more from their Council</li> <li>- Local press quick to seize issue.</li> <li>- Comparisons made with other local authorities and resilience groups</li> <li>- A death, or deaths, in the community</li> <li>- Legal challenge under the 'Civil Contingencies Act 2004'</li> </ul>				
<b>Code</b>	<b>Description</b>	<b>Managed By</b>	<b>Desired Outcome</b>	<b>Output</b>	<b>Milestones/PIs</b>		<b>Monitoring</b>		
SR 02.01	Continue to develop the Council's Emergency Plan	Director of Regeneration, Community and Culture	<ul style="list-style-type: none"> <li>- Revised plan agreed by CMT</li> <li>- Continued engagement with Kent Resilience Forum</li> <li>- Staff trained in emergency response management</li> </ul>	<ul style="list-style-type: none"> <li>- Existing plan in place - Programme of on-going review of COMAH plans - Emergency response operations room in place.</li> </ul>	<ul style="list-style-type: none"> <li>- Draft plan update in place</li> <li>- Programme of staff training in place by January 2011</li> </ul>		On-going		
SR 02.02	Business continuity plans completed to implement the actions	Director of Regeneration, Community and Culture	All services will have an up-to-date and tested Business Continuity Plan	<ul style="list-style-type: none"> <li>- Gloucestershire County Council Model adopted and amended to reflect Medway's requirements;</li> <li>- BCM Policy agreed;</li> <li>- BCM principles and project aims communicated to divisional management teams across the Council.</li> <li>- A Corporate Recovery Plan tested in September 2009;</li> <li>- IT Recovery Plan in place;</li> <li>- Agreement that all services will develop a business continuity plan.</li> </ul>	Plans need to be tested.		Quarterly reports to Strategic Risk Management Group		

