

Summary of Priorities and Risks in Service Delivery Plans 2012-15

Adult Social Care

Overarching Priorities:

- Self directed support NI 130 (100%)
- Adult Safeguarding – Improve Adult Safeguarding Procedures and Protocols to support operational teams and external agencies
- Promote and support independence in the community
NI 125 – rehabilitation and intermediate care
- Timeliness and quality of social care assessment and packages of care

Disabled Young people in transition/adults 18+ Lifestages Model

- Continue to review the new service model
- Review processes and procedures to increase effectiveness
- Maintain and develop relationships with key stakeholders and partners

Service Reviews:

Service Reviews are being conducted for Learning Disability Day Care and Extra Care (Home Care) services. These are being led by the Transformation Team and the findings and recommendations of these reviews will be published at future date. Following which, consultation with staff and service users will be undertaken and the required democratic processes followed.

Children, Families and Learning

Key priorities identified including priorities from the inspection of Safeguarding and Looked-after Children's Services.

1. Early Identification and Intervention:

- Special needs
- Universal – identifying vulnerable groups/neighbourhoods
- 'CAF' – team around the child (TAC), team around the school (TAS)
- Families on the edge of care – Troubled Families/High Impact households/Core Business
- Information Sharing and Gathering – 'HUB'
- Process: Assessment / Step up and Step down
- Resources – moving resources
- Workforce – empowering professional judgement (Munro)/recruitment and retention
- Outcome/Impact

2. Quality Assurance

- What is quality and standards? To be agreed across CFL.
- Management Oversight – how is this evidenced/workflow
- Workforce Development
- Supervision/case oversight
- Reporting arrangements
- Peer Review and systematic audits
- Complaints – response, monitoring, training issues
- Service user feedback

- Early Intervention and Prevention in Children's Centres
- Assessment - This needs to be reviewed across Family Support.

3. IT Systems

- Review existing systems (Social Care Project Board)

4. Participation and Involvement

- Evidence of impact - Feedback Loops
- Workforce Development – involving DBC staff in service
- Use of 'what's changed?' logs
- Develop and implement the Raising of the Participation Age strategy - Full participation to 17 by 2013 and 18 by 2015

5. Value for Money/Resource Management

- Eliminate duplication – services/processes
- Munro recommendations – e.g. use of skilled/qualified staff
- Edge of Care Services
- Commissioning – Intelligent Commissioning;
- Review use of CAMHS places and Residential Placements
- Use of resources
- Provision of school places

Development and Commissioning

Key priorities identified by Customer Group

Internal Leadership Teams

- Articulate the benefits of the Early Intervention and Prevention agenda across service areas e.g. Development and Commissioning; Children, Families and Learning; and Adult Social Care.
- Identify and measure savings to deliver VfM.
- Further develop the Budget Strategy (Zero Based Planning) for 2012 embedding throughout the organisation including Members.
- Assess the equality and diversity impacts of changes within the Council.
 - Ensure compliance with the Equality Act 2010.
 - Further embed EIA and DEIA processes across the organisation.
 - Publish objectives as required by the Equality Act 2010.
 - Review equalities arrangements and develop a single equality scheme.
- Utilise Transformation Programme to increase effectiveness and efficiency of services.
- Undertake research and an appraisal option of Social Impact Bonds.
- Embed Commissioning Guidance in the Council culture through development and training.
- Develop new Corporate Planning Process and Performance Management Framework.

Senior Leadership Team /Heads of Service/Service Managers

- Develop and embed performance reporting and performance clinics.
- Implement recommendations of Carefirst Rapid Process Improvement Workshop (RPIW).
- Review and rationalise business support functions.
- Complete the Local Account for Adult Social Care.

- Review Workforce Development across Darlington, Redcar & Cleveland and Hartlepool and introduce new model of delivery.

Whole Population

- Research and understand Welfare Reforms, and make recommendations on next steps.
- Review the People Advice Service to provide good quality information, advice and guidance, and appropriate pathways for welfare advice.
- Develop and implement the Darlington Together Action Plan and associated culture change.
- Develop a new Talking Together model.
- Develop a Community Support Network.
- Support the transfer of Public Health duties and functions to the Council.

Carers

- Finalise Carers' Strategy and Implementation Plan and Young Carers' Action Plan.
- Recommission the Carers' Support Service.
- Agree and prioritise spend of the PCT breaks funding with the Primary Care Trust (PCT).
- Identify and agree spend of carer breaks funding with the Clinical Commissioning Group (CCG).
- Develop Personal Budgets for Carers.

Third Sector, Private, Voluntary and Independent Sector:

- Facilitate the development of the Third Sector to grow and provide preventative support to population.
- Develop policy and strategy to support effective and resilient Community Asset transfers.
- Develop family and community resilience to enable the most disadvantaged to be supported by safe with quality services meeting outcomes.

Members/Cabinet

- Develop community leadership through Darlington Together.
- Develop and implement community work stream for Darlington Partnership.

Darlington Partnership/other partnerships

- Develop robust arrangements for the incoming Police Crime Commissioner.
- Ensure delivery of the Darlington Partnership Action Priorities.
- Implement and embed partnership arrangements; in particular the shadow Health and Well-being Board, and One Darlington Perfectly Placed Delivery Strategy.
- Develop proposals for integrated commissioning with the Clinical Commissioning Group (CCG).
- Implement and embed joint commissioning intentions and planning across the public sector including Single Needs Analysis.
- Develop effective arrangements for commissioning Health Watch and patient and public engagement activity.

Schools and Settings

- Review of current data support arrangements for schools.

PLACE

Community Services

Cultural Services

- Remodelling of Cultural Services
- Remodelling of Museum Services
- Further develop the 'Darlington Together' approach to facilitating the community based Events Programme with in the Borough
- Deliver the Library Plan 2012-2015
- Produce a short and medium term development programme for Darlington markets with immediate focus on covered market improvements

Environmental Services

- Continue to deliver quality Environmental Services
- Waste management services
- Continue to develop and improve the parks, countryside and open spaces service

Quality Management

- Continue to support service delivery with regard to operational health and safety and quality management across the Place Group

Overarching Action Plan

- Collaboration work with colleagues in the Tees Valley

Highways, Design and Projects

Assurance and Corporate Priorities

- Management Framework and Assurance
- New Business Model, Partnership Working & Transformation
- Efficiency & Business Process Re-Engineering
- Business Continuity Planning
- Carbon Management Plan
- Flood and Water Management Act Responsibilities
- Build Capacity To Respond To Emergencies

Regional and Sub-regional Priorities

- Develop Infrastructure and Place to enable economic development. (TVU Business Plan Objective 1). Tees Valley Unlimited - Transport and Infrastructure Group

Operational Priorities

- Transport Asset Management Plan
- Highway Maintenance Plan

- Winter Maintenance Plan
- Public Rights of Way
- Street Lighting Collaborative Project
- Highway Construction
- Highway Asset Management Contracts Review
- Network Management Plan
- Major Projects and Capital Schemes: Local Transport Plan, Local Sustainable Transport Fund, Tees Valley Bus Network Improvements
- School Crossing Patrol Service
- Road Safety Education & Training
- Highway Network Management Contracts Review
- Corporate Asset Management Planning
- Development of Capital Project Processes
- Effective Management of Major Projects and Capital Schemes
- Capital Projects Contracts Review

Housing

Cross-cutting priorities

- Council Tenants/Leaseholders
- Recipients of Housing Options Advice
- Registered Applicants for Housing
- Registered Providers
- Multi-agency Partners e.g. Health, Probation
- 3rd Sector Organisations & Charities
- Former Tenants

Housing Strategy

- Implement the remodelling plans for Cockerton
- Prepare and agree plans for the regeneration of Red Hall
- Prepare and adopt a Supported Accommodation Strategy
- Prepare and adopt a Homelessness Strategy
- Implement the Asset Management Strategy
- Options for the future development of council housing

Asset Management

- Improve Energy Efficiency of housing stock
- Respond to outcome of Strategic Options for Place Services in respect of capital and revenue maintenance

Reforms affecting housing

- Respond to Welfare Reforms
- Respond to Localism Act
- Respond to CSR 2010
- Developing the Tenancy Strategy (Tees Valley wide) and Tenancy Policy for Darlington BC Housing.
- Respond to Enhanced Right to Buy arrangements

Maximise Income:

- Review tenancy termination process / void standard
- Identify 'vulnerable' CBL applicants and tenants , to maximise benefit payments direct to landlord
- Address under occupation of social housing

- Capture and analyse tenant profile data
- Review Direct Debit payment arrangements
- Develop welfare benefits knowledge

Revenues and Benefits

Council Tax Payers

- Increase in percentage of Council Tax collected

Landlords in receipt of Housing Benefit

- Reduce fraudulent claims for housing and council tax benefits

National Non Domestic Rate Payers

- Increased in the percentage of NNDR collected

All claimants of Housing and Council Tax benefits

- Reduced timescales for the processing of new claims for housing or council tax benefits.

Policy and Regeneration

Overarching Priorities

- Roles, functions and expectations
- Partnership working
- Effective ICT systems
- Commissioning functions

Service Level Priorities

Strategy and Commissioning

- Local Plan Preparation: a) National Planning Policy Framework, b) Making Places Accommodating Growth, c) Planning Obligations/ Community Infrastructure Levy
- Town Centre Fringe (Master Plan to Implementation)
- Strategy Development: a) Economic, b) Housing, c) Car Parking
- Commissioning Planning: a) Leisure, b) Street Scene

Programmes and Projects

- Major Projects and Capital Schemes
- Employment Sites Programme Development
- Local Sustainable Transport Fund
- Tees Valley Bus Network Improvements
- Carbon Management Plan

Economic Regeneration

- Business Improvement District (BID)
- Business Engagement Strategy
- Business Start Up Service
- Unemployment/ Labour Market Needs

Regulatory Services

- Dealing with Empty Homes
- Development Control

- Flood and Water Management Act Responsibilities
- Closed Circuit Television Function
- Business Continuity Planning
- Build Capacity To Respond To Emergencies
- Trading Standards Service
- Environmental Health Service

RESOURCES

Finance

- Support the deliver of the Medium Term Financial Plan, predicting and respond rapidly to changing financial circumstances and supporting effective business management
- Delivery of key transformation projects
- Develop and improve the quality of financial information
- Respond to government legislation and consultation
- Manage a structured decommissioning programme for schools achieving academy status to minimise risk
- Public Health
- Income Maximisation
- Information Security - Support completion of the Information Risk Assessments and implementation of agreed action plans
- Complete and test Business Continuity Plans

Human Resources

- Ensuring leaders and managers from a range of backgrounds embrace the desired leadership culture, are empowering, engaging, inspiring and motivating in order to lead the workforce and the community through significant change whilst ensuring continued delivery of value for money services.
- Ensuring the organisation has the appropriate structures, capacity, and skills that are needed to deal with the challenges faced to support the organisation on its journey to 2015 and beyond.
- Promoting resilience to change by encouraging employees to adopt safe and healthy working practices and lifestyle choices in the interests of themselves, the organisation, and the community we serve whilst seeking to develop resilience to minimise and mitigate the personal impact of change.
- Ensure that the Council's reward package is affordable and realistic and capable of retaining key employees. Ensuring employees feel appreciated and receive timely and appropriate feedback for their efforts and have opportunities for personal growth.
- Ensuring the organisation has the appropriate structures, capacity, and skills that are needed to deal with the challenges faced to support the organisation on its journey to 2015 and beyond.
- Promoting resilience to change by encouraging employees to adopt safe and healthy working practices and lifestyle choices in the interests of themselves, the organisation, and the community we serve whilst seeking to develop resilience to minimise and mitigate the personal impact of change.

Resources

- Communication Strategy (incl. campaign strategy)
- Public Health Transition
- Strategic Collaboration
- Police and Crime Commissioner Election
- Customer Strategy
- Localism Act
- Electoral Reform
- Insight Strategy
- Consultation Strategy
- Web Strategy

Transformation

- Support in delivering outputs and outcomes in relation to transformation projects
- Transforming Procurement
- Successful implementation of the Corporate Landlord function, and continued measurement of its effectiveness
- Maximise capital receipts
- Energy Management and Carbon Reduction (public buildings)
- Asset rationalisation
- Stressholme Golf Club options
- Resources 3 Borough Collaboration – Property and Procurement strands

Xentrall

- **Continue to improve services**
Although the efficiencies identified in the original business plan have now been delivered it is important that all services continue to deliver improvements.
- **Information Governance / Information Management**
This project is a high profile in both Councils. It is important that the programme delivers a culture change and different ways of working. It will also form the building blocks for any future ICT Strategy which may see a move towards the use of Cloud Technology.
- **Total Cost of ICT**
A lot of work has been undertaken within Xentrall to reduce the cost of the ICT service to both Councils. There has been a convergence of ICT Strategies and the ICT technical platform which has seen a reduction in on going costs and support costs. The next stage is to look at ICT outside of Xentrall and look for other opportunities to reduce cost including the use of shared business applications.

Risks identified in Service Planning 2012-13 (NB This does not include Corporate or Group Risks currently in the Risk Register)

PEOPLE:

Risk ref	Risk	Risk category	Responsible Person	Action Plan Y/N
ASC1	Self Directed Support – inability to ensure compliance with requirements for self directed support; individual budgets and direct payments within required timescales	B/III	Sue Nuttall	N
ASC2	Inability to complete review and improvements to services to protect vulnerable Adults (Safeguarding Adults)	C/II	Ann Workman	Y
ASC3	Budget savings not realised through services promoting and supporting independence in the community	B/III	Ann Workman	N
ASC4	Timeliness and quality of social care assessment and packages of care does not deliver improvements and cost effectiveness	C/II	Ann Workman	Y
ASC5	Inability to complete review of and improvements to Life Stages Services	D/IV	Kevin Kelly	N
ASC6	Inability to complete review of processes and procedures to increase effectiveness of Life Stages Services	C/II	Kevin Kelly	Y
ASC7	Inability to maintain and develop relationships with key stakeholders and partners of Life Stages Services	C/II	Kevin Kelly	N
CFL1	Retention of children's workforce	D/II	Jenni Cooke	N

Risk ref	Risk	Risk category	Responsible Person	Action Plan Y/N
CFL2	Consistency of external funding streams and financial allocation	C/II	Jenni Cooke	N
CFL3	Impact of welfare reforms	D/II	David Mason	N
CFL4	Increased number of LAC and budgetary impact	C/II	Jenni Cooke	N
CFL5	Fragmentation of Schools@onedarlington	D/II	Jenni Cooke	N
CFL6	Ensuring appropriate assessment, interventions or signposting to services for disabled children and their families	C/II	Kevin Kelly	N
DEV1	Inability to negotiate an agreed settlement for residential care homes	B/II	Elaine O'Brien	
DEV2	Continuation of contract provision for residential, domiciliary and nursing care in the event of provider failure	C/I	Elaine O'Brien	Y
DEV3	Inability to deliver service and corporate plans as a result of welfare reform	C/II	Chris Sivers	Y
DEV4	Inability to procure suitable market provision for Community Support Network	C/II	Elaine O'Brien	Y
DEV5	Inability to manage service demands arising from partnership activity	D/III	Chris Sivers	N
DEV6	Fundamental breakdown of partnership working	D/II	Seth Pearson	N
DEV7	Unable to create culture change and gain community support for Darlington Together agenda	C/II	David Plews	Y
DEV8	Legal challenge arising from equalities legislation	D/I	David Plews	Y

Risk ref	Risk	Risk category	Responsible Person	Action Plan Y/N
DEV9	Lack of capacity to deliver changes and savings	D/II	Chris Sivers	N
DEV10	Inability to deliver local community safety priorities arising from introduction of Police and Crime Commissioners	E/II	David Plews	N
DEV11	Inability to deliver actions to effectively transfer and manage public health arrangements	C/II	Chris Sivers	Y

PLACE:

Risk ref	Risk	Risk category	Responsible Person	Action Plan Y/N
COM1	Unsuccessful implementation of wheeled bins.	D/II	David Burrell	N
COM2	Failure to reach challenging income targets.	C/II	Mike Crawshaw	Y
COM3	Failure to relocate the Depot.	C/II	Ian Thompson	Y
COM4	Failure to engage volunteers in service delivery.	D/III	Brian Graham Mike Crawshaw	N
POL1	Links between teams fail to keep pace with structural changes	B/II	John Anderson & (Heads of Service)	Y
POL2	Links with partners fail to keep pace with structural changes	B/III	Bill Westland	N
POL3	Member expectations exceed capacity	C/III	John Anderson	N
POL4	Inadequate maintenance and development of ICT systems	A/III	Bill Westland	Y
POL5	Failure to deliver a steady stream and range of employment sites	D/III	Alan Glew	N
POL6	Other services fail to contribute to carbon management goals	D/III	Alan Glew	N
POL7	Insufficient funding to deliver Business Improvement District (BID)	D/III	Nik Grewer	N
POL8	Empty Homes Funding comes to an end	E/III	David Burrell	N
HDP1	Restructure transitional arrangements and relocation	D/II	Assistant Director	N
HDP2	In-Year demands, priorities or opportunities arise that are not planned or resourced that creates capacity issues	D/II	Assistant Director	N
HDP3	Other services priorities	D/II	Heads of Service	N

Risk ref	Risk	Risk category	Responsible Person	Action Plan Y/N
HDP4	Reduction in fee levels	C/II	Heads of Service	Y
HDP5	Level of Service and Member requests reduce planned performance	D/II	Heads of Service	N
HDP6	Reduction in resources	C/II	Assistant Director	Y
HDP7	Failure to contribute to Carbon Management objectives	D/II	Heads of Service	N
HOU1	Strategic Options for Place	C/II	Pauline Mitchell	Y
HOU2	Slippage in the Cockerton regeneration programme	D/II	Hazel Neasham	N
HOU3	Reduction in rental income	C/II	Hazel Neasham	Y
HOU4	Reduced choice and availability of affordable housing	C/II	Hazel Neasham	Y
HOU5	Significant level of uncertainty and change within the housing sector	C/II	Ken Davies	Y
HOU6	Increased homelessness	B/II	Hazel Neasham	Y
REV1	Council Tax Support scheme not published by 31st January 2013	C/I	Anthony Sandys	Y
REV2	ICT changes for the Council Tax Support scheme not implemented in time for 2013/2014 annual billing	D/II	Anthony Sandys	N
REV3	Decrease in Council Tax collection rates from April 2013 as a result of the introduction of the Council Tax Support scheme	A/II	Anthony Sandys	Y
REV4	Difficulty in managing resources to deal with a diminishing caseload, once housing costs are incorporated into Universal Credit	C/III	Anthony Sandys	N

Risk ref	Risk	Risk category	Responsible Person	Action Plan Y/N
REV5	Difficulty in operating the service effectively as a result of a diminishing administration grant following the implementation of the Single Fraud Investigation Service and Universal Credit	B/III	Anthony Sandys	N
REV6	Unable to implement the required ICT changes and produce bills on time for the Business Improvement District	D/II	Anthony Sandys	N
REV7	Insufficient resources available to reimburse the Council for NNDR discounts awarded for the local Enterprise Zone	E/II	Anthony Sandys	N
REV8	Increased risk to Council income following the retention of NNDR from April 2013, if collection rates deteriorate	E/II	Anthony Sandys	N

RESOURCES:

Risk ref	Risk	Risk category	Responsible Person	Action Plan Y/N
XEN1	Different priorities of the two Councils leads to a differential service which may be difficult to manage	C/III	Exec Board	N
XEN2	New services in Xentrall impact on existing business / culture	C/III	XMT	N
XEN3	New Heads of HR in both Councils	D/IV	Ian Coxon	N
XEN4	Loss of key staff create operational difficulties	C/III	Ian Miles	N
XEN5	Design and Print service does not achieve its income targets	D/III	Ian Miles	N
XEN6	There is a reduction in business for Xentrall over the coming years - specifically known risks are: Schools DBC & Tristar SBC	D/II	XMT	N
FIN1	Information governance	C/II	Brian James	Y
FIN2	VAT – exemption limits	D/II	Elaine Hufford	N
FIN3	Instability within financial markets adversely impacts on finance costs and investments	D/II	Elaine Hufford	N
FIN4	Fraud – in general	C/III	Brian James	N
FIN5	Social care finance module	D/III	Heather McQuade	N
FIN6	Public Health – financial management and increased workload	C/III	Brett Nielsen	N
FIN7	Public Health – information governance	D/II	Brian James	N
FIN8	Loss of School business	C/III	Brett Nielsen	N
TRA1	Double counting of savings	D/II	Debbie Spence	N
TRA2	Shortfall in planned savings due to reduction in Council Budget	D/II	Susan White	N
TRA3	Impact of disaggregation of Building Services resulting in an imbalance of resources and skills for Corporate Landlord	D/II	Brian Boggon	N

Risk ref	Risk	Risk category	Responsible Person	Action Plan Y/N
HRM1	Failure to defend the Equal Pay Challenge	A/I	Director of Resources / HHR	Y
HRM2	Failure to maintain a positive employee relations climate	D/II	HHR	N
HRM3	Failure to support the organisation's priorities resulting from reduced HR Manager capacity	D/II	HHR	N
HRM4	Failure to successfully collaborate with key partners	D/II	HHR	N
HRM5	Loss of schools HR business	C/III	HHR	N
RES1	Systems – a lack of service area buy-in would result in the actions not being achieved or timescales being severely delayed	DII	Sharon Raine	N
RES2	Systems – delayed roll-out of MS Office 2010 and Windows 7 will delay the upgrade of UNIFORM	DII	Sharon Raine	N
RES3	Systems – a lack of available funding would result in the actions not being achieved	CII	Sharon Raine	N
RES4	Systems – the payments system upgrade – a delay to this will affect work on Leisure and Single View of the Customer	DII	Sharon Raine	N
RES5	Unauthorised disclosure: - Staff of partner organisations - Human error (leaving pages on copier, MFD, etc) - Human error (inputting wrong number on fax Machine) Human error (wrongly addressed correspondence) – (Paper records)	BII	Sharon Raine	
RES6	Unauthorised access: - Insecure storage (Paper records) - Loss (Paper records) - Insecure disposal (Paper records) Files on storage area network – (Electronic Records)	BII	Sharon Raine	
RES7	Police and Crime Commissioners Elections	DI	Linda Todd	

Risk ref	Risk	Risk category	Responsible Person	Action Plan Y/N
RES8	Customer Services – Failure to Perform	DIII	Linda Todd	
RES9	Legal Challenge	CIII	Luke Swinhoe	

NB:

- New risks are subject to validation by Service Group Senior Management Teams.
- Existing risks will be reviewed by Group Senior Management Teams and risk registers amended appropriately.
- Corporate Risks are not included in these tables.
- Risks identified from previous service planning cycles which form part of the Group Risk Register will be reviewed through existing audit protocols and with all Corporate and Group Risks reported quarterly to Audit Committee.
- Risks shown in **bold** are those assessed above the appetite line and have action plans within the service plan.