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Key Priority/ Objective	Council Plan Ref	Action/controls already in place	Required Action/controls	Responsibility for Action	Responsible Officer	Due/Target Date	Update of Required Management Action Controls	Status	Critical Success Factors and KPI's	Date last update	Date of next review	Risk Status
Risk Number : 001 Risk Owner : Dawn Baxendale Portfolio: Leaders Risk Category: Political												
Risk Description: The impact of national policies/trends on key service priorities or objectives is not identfied or assessed sufficiently early												
Initial Impact:Significant Initial Likelihood:Low Initial Score:D3 **Current Impact:Significant Current Likelihood:Low Current Score:D3** **Target Impact:Significant Target Likelihood:Very Low Target Score:E3**												
Change programme - the changing national environment in whch we work		Horizon scanning, Strategic Planning meetings of the Management Board once in six weeks, Forward Plans for Cabinet and Management Board, Directorate leads to consider specific issues	Consideration at Quarterly Business Reviews	Dawn Baxendale		31-Mar-2012		G		30/6/2011	30/9/2011	Open
			Early discussions with the Leadership Group for policies and trends which may have council wide impact	Dawn Baxendale		31-Mar-2012		G		30/6/2011	30/9/2011	Open
Risk Number : 002 Risk Owner : Dawn Baxendale Portfolio: Leaders Risk Category: Competitive												
Risk Description: The efficiency programme fails to deliver the required or expected budget savings												
Initial Impact:Significant Initial Likelihood:High Initial Score:B3 **Current Impact:Significant Current Likelihood:High Current Score:B3** **Target Impact:Significant Target Likelihood:Low Target Score:D3**												
Efficient use of resources		Robust programme governance, roles and accountabilities established. PM Connect methodology used to monitor and control projects	Adequate project management and programme support arrangements in place to ensure delivery	Joy Wilmot-Palmer		31-Mar-2012		G		30/6/2011	30/9/2011	Open
			Appropriate staff, management and Trade Union engagement procedures established for all projects	Joy Wilmot-Palmer		31-Mar-2012		G		30/6/2011	30/9/2011	Open
			Consistent and timely review / change management approach implemented across the Council	Joy Wilmot-Palmer		31-Mar-2012		G		30/6/2011	30/9/2011	Open
			Contingency plans in place for all service areas	Joy Wilmot-Palmer		31-Mar-2012		G		30/6/2011	30/9/2011	Open
Risk Number : 003 Risk Owner : Mark Heath Portfolio: Leaders Risk Category: Political												
Risk Description: The Council is unable to react sufficiently quickly to changes in political direction												
Initial Impact:Significant Initial Likelihood:Significant Initial Score:C3 **Current Impact:Significant Current Likelihood:Significant Current Score:C3** **Target Impact:Significant Target Likelihood:Significant Target Score:C3**												
Continuous improvement		Regular meetings of Group Leaders with the Chief Executive and the Monitoring Officer. Protocols and procedures in place regarding the actions required in the event of a change of political control. Cross party member briefings / involvement in all key or major decisions. Effiective Overview and Scrutiny arrangements are in place with powers to review or scrutinise decisions made, or other action taken, in connection with the discharge of any functions which are the responsibility of the Executive, including the power to recommend that a relevant decision be reconsidered by the person who made it	Current activity is considered to be appropriate and robust	Mark Heath		31-Mar-2012		GY				Closed

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Risk Number : 004 **Risk Owner : Mark Heath** **Portfolio: Leaders** **Risk Category: Professional/Managerial**												
Risk Description: Workforce, industrial relations and skills retention issues have an adverse impact on service delivery												
Initial Impact:Significant Initial Likelihood:High Initial Score:B3 **Current Impact:Significant Current Likelihood:High Current Score:B3** **Target Impact:Significant Target Likelihood:Low Target Score:D3**												
Reshaping the Council for the future	7		Develop and communicate Organisational Development Strategy	Sarah Dennis		31-Dec-2011		G	OD Strategy developed, approved and published by 31/12/2011	31/8/2011	6/9/2011	Open
			Progress against specified actions in new OD Strategy. specifically in respect of: Effective Communications; Skills Analysis; Training and Development; and Succession Planning.	Sarah Dennis		31-Jul-2012		G	Progress against OD Strategy Action Plan on target	31/8/2011	6/9/2011	Open
			Work towards retaining IiP accreditation	Sarah Dennis		31-Jul-2012		G	IiP accreditation retained OR deliberate and reasoned decision taken not to seek retention.	31/8/2011	6/9/2011	Open
Risk Number : 005 **Risk Owner : Mark Heath** **Portfolio: Leaders** **Risk Category: Professional/Managerial**												
Risk Description: There is insufficient capacity to manage or maintain the capacity to change												
Initial Impact:Significant Initial Likelihood:Significant Initial Score:C3 **Current Impact:Significant Current Likelihood:Significant Current Score:C3** **Target Impact:Significant Target Likelihood:Low Target Score:D3**												
Reshaping the Council for the future	7	Council-wide organisational restructure commenced to transform the Council into an effective, customer-led organisation whislt reducing costs.;	Continuation of restructure to all tiers of the organisation	Sarah Dennis		31-Mar-2012		G	Restructures and all associated actinos substantially complete by due date	30/8/2011	30/9/2011	Open
			Development of Organisational Development Strategy and implementation of Action Plan, particularly in respect of: Developing Flexible Employment Models; Development of Succession Planning Framework; and Development of Leadership Programme	Sarah Dennis		31-Dec-2011		G	Progress against OD Strategy Action Plan on target	30/8/2011	30/9/2011	Open
Risk Number : 006 **Risk Owner : Dawn Baxendale** **Portfolio: Leaders** **Risk Category: Economic**												
Risk Description: Major infrastructure developments or economic development plans are adversely affected by economic, environmental or market conditions and /or are not delivered in accordance with stakeholder expectations.												
Initial Impact:Significant Initial Likelihood:Significant Initial Score:C3 **Current Impact:Significant Current Likelihood:Significant Current Score:C3** **Target Impact:Significant Target Likelihood:Low Target Score:D3**												
A better place to live and invest		Assist developer where possible to maximise scheme viability. Work closely with landowners and developers. Review opportunities to assist with funding. Explore all potential funding streams that can be aligned to facilitate development	Business Planning process considers PESTLE analysis and risks	Dawn Baxendale		31-Mar-2012	To be reaffirmed in the next cycle of integrated business planning	G		30/6/2011	30/9/2011	Open
			PM Connect and Capital Boards are in place	Dawn Baxendale		31-Mar-2012		G		30/6/2011	30/9/2011	Open

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Risk Number : 007 Risk Owner : Mark Heath Portfolio: Leaders Risk Category: Professional/Managerial												
Risk Description: High priority projects do not deliver the requried or expected outcome and/or are delayed or not within budget												
Initial Impact:Significant Initial Likelihood:Significant Initial Score:C3												
Current Impact:Significant Current Likelihood:Significant Current Score:C3												
Target Impact:Significant Target Likelihood:Low Target Score:D3												
Efficient use of resources		PM Connect, project management process, introduced in April 2010. PM Connect provides a consistent and transparent process with high priority and other projects registered on a SharePoint site where monthly status reports can be viewed. A high priority project is categorised as 'Gold' and requires a higher level of project planning and approval via the council's Gateway approval process.	Develop SharePoint to require al Gateway project documents to be held and approved online via SharePoint. This will ensure that there is a clear audit trail to evidence that the document has the required level of approval appropriate to the project priority and risk level.	Andy Lowe		31-Dec-2011		G	A reduction in the number of projects registered on SharePoint withuot the appropriate project documentation. Baseline figures to be provided by the Project Management Office	31/8/2011	6/9/2011	Open
			Introduce an escalation procedure to trigger the automatic escalation of Gold high priority projects to MBoD where the project has a Red RAG status or, for more than one consecutive month, an Amber RAG status.	Mark Heath		30-Apr-2012		G	Consideration of escalated Gold projects to be a standing item on the MBoD agenda.	31/8/2011	6/9/2011	Open
			Support a Programme Board that meets periodically to maintain an overview of projects that, collectively, are a high priority for the council. The Board will focus on whether the projects are likely to realise the benefits outlined in the Corporate Plan and other strategic objectives using a Benefits Tracker. It will hold Project Sponsors to account and escalate issues to the MBoD. PM Connect will provide a SharePoint meeting space to record all information about the programme and its projects, and tools to assist the Programme (Benefit Tracker).	Andy Lowe		31-Mar-2012		G	The MBoD will be able to provide an up to date status report on the benefits the programme is expected to deliver and progress in realising those benefits.	31/8/2011	6/9/2011	Open
			To produce a report for the MBoD seeking to ensure that (1) Project managers are adequately equipped to manage projects (2) That project sponsors are familiar with and are able to perform the role successfully (3) That project, programme and capital boards are able to ensure that projects are being adequately managed from a cost, timescale and quality perspective.	Andy Lowe		1-Feb-2012		G	That there is a percentage increase year on year on the number of projects that are: a) Introduced within the initial budget; b) Introduced within the original timescale; c) That the project sponsor determines that the outcomes are at least equal to those orginally envisaged.	31/8/2011	6/9/2011	Open

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Risk Number : 008 Risk Owner : Frances Martin Portfolio: Environment & Transport Risk Category: Professional/Managerial												
Risk Description: Major incident or service delivery failure that significantly impairs or prevents the Council's ability to deliver key services and/or statutory functions												
Initial Impact:Significant Initial Likelihood:Low Initial Score:D3 **Current Impact:Significant Current Likelihood:Low Current Score:D3** **Target Impact:Significant Target Likelihood:Low Target Score:D3**												
Customer Delivery		Range of emergency response plans in place to address identfied issues and/or respond to legal or statutory requirement i.e. SCC Major Incident and Business Continuity Response Plans, Flu Pandemic Plan, Flood Plan, Oil and Chemical Pollution Plan, Soton Safe 'z berth' plan etc; Directorate and Divisional Business Plans in place; IT Disaster Recovery Plan in place and tested; Emergency response plans are tested on a periodic basis with 'testing' targeting on high risk areas; Cross service and interagency emergency response teams in place and tested both in exercise and to live incidents.	BCP corporate ownership and application at senior manager level lacking in consistency. Highlight within BCP review process	Jon Dyer-Slade		31-Jul-2011		G	Commitment in the support of the Emergency Response Team when necessary	1/5/2011	31/7/2011	Open
			Bi-annual review of emergency response plans	Jon Dyer-Slade		31-Jul-2011		G	Timely and effective response to civil emergencies and internal business disrpution as they arise; Commitment in support of the the Emergency Response Team when necessary.	1/5/2011	31/7/2011	Open
			Ongoing Capita and client assurance in respect of the IT Disaster Recovery Plan	Sarah Dennis		31-Mar-2012		G		10/6/2011		Open
			Sufficient staffing and focus to ensure corporate obligations. To be highlighted within corporate restructure Emergency Response Team review	Jon Dyer-Slade		31-Jul-2011		G		10/6/2011	31/7/2011	Open
			Training and exercise programme re business continuity plans (as servcice area testing of BCP's not evident in majority of cases)	Jon Dyer-Slade		31-Jul-2011		G	Consistency of nomination and attendance	1/5/2011	31/7/2011	Open
Risk Number : 009 Risk Owner : Mark Heath Portfolio: Leaders Risk Category: Partnership/Contractual												
Risk Description: Key suppliers to services to the Council fail to deliver their contractual obligations												
Initial Impact:Significant Initial Likelihood:Significant Initial Score: **Current Impact:Significant Current Likelihood:Significant Current Score:** **Target Impact:Significant Target Likelihood:Significant Target Score:**												
Continuous improvement		Contract Procedure Rules; Corporate Procurement Strategy 2009-2012	Supplier Relationship Management process	John Spiers		31-Mar-2012		G		30/6/2011	30/9/2011	Open
Risk Number : 010 Risk Owner : Mark Heath Portfolio: Leaders Risk Category: Legislative												
Risk Description: Governance arrangements in respect of the management of health and safety will not enable the provision of an appropriate levle of assurance to officers and members that the health and safety regime is robust												
Initial Impact:Significant Initial Likelihood:Significant Initial Score: **Current Impact:Significant Current Likelihood:Significant Current Score:** **Target Impact:Significant Target Likelihood:Significant Target Score:**												
Continuous improvement			Governance arrangements for health and safety accountabilities to be through a Health and Safety Management Board comprising the Chief Executive, Directors and Capita. Board to meet on a quarterly basis.	John Spiers		30-Sep-2011		G		31/8/2011	6/9/2011	Open