

Summary - Directorate Risk Registers - September 2011

For all types of organisations there is a need to understand those risks that, if not managed effectively, could have an adverse impact on the achievement of key objectives or prevent opportunities from being exploited. The Council is committed to ensuring that there is a structured and consistent approach to managing risk, recognising the need to optimise the balance between risk and reward and that, actions to mitigate or manage risk to an acceptable level, need to be proportionate to the level of risk.

	Directorate	Description of Risk	Current Risk Score (RAG)	Likelihood	Impact	Comments
1	Families and Communities (Health & Adult Social Care)	There is a risk that services to the most vulnerable adults in the City will be reduced due to the consequences of the Public Spending Review resulting in less numbers of people being supported.	B2	High	Critical	
2	Families and Communities (Health & Adult Social Care)	There is a risk of market failure due to safeguarding issues or the closure of businesses due to economic or other pressures. This will result in the Local authority being required to re-assess care needs, seek alternative contracted care provision or provide care from internally provided services.	B2	High	Critical	
3	Families and Communities (Childrens Services & Learning)	SCC capacity to deliver statutory accountabilities to children and young people severely compromised as a consequence of local, school-based responses to government policy.	B3	High	Significant	Individual schools have the right to make unilateral decisions to assume Academy status. Each school that does so results in a government 'top slice' of SCC resource. Depending on the pace of individual school decisions, funds remaining to deliver statutory accountabilities to the remainder may be compromised significantly.
4	Families and Communities (Health & Adult Social Care)	There is a risk that due to demographic and economic changes, demand for care services will continue to rise in the short to medium term leading to the Local Authority being unable to meet its statutory obligations.	B3	High	Significant	
5	Environment	Failure to satisfy our residents and stakeholders aspirations for future service delivery/standards across the city.	B3	High	Significant	
6	Economic Development	Failure to progress viable development schemes.	B3	High	Significant	
7	Economic Development	Failure to deliver the agreed efficiency programme resulting in adverse consequences on the Council's budget.	B3	High	Significant	
8	Corporate Services	There are insufficient resources available to deliver all priorities.	B4	High	Marginal	
9	Families and Communities (Health & Adult Social Care)	There is a risk that the national care agenda is likely to recommend that residents are only placed in residential homes that are rated as excellent by Care Quality Commission. None of the Council owned homes are currently rated as excellent.	C2	Significant	Critical	
10	Families and Communities (Childrens Services & Learning)	Failing to manage the current infrastructure to meet the needs of growing numbers of young children needing school places.	C2	Significant	Critical	

11	Families and Communities (Health & Adult Social Care)	There is a risk that key suppliers of services to the Directorate fail to deliver their contractual obligations. This failure can be through business as usual activities or in an emergency situation.	C2	Significant	Critical	
12	Economic Development	Objections to consents and orders delaying or failing projects.	C2	Significant	Critical	
13	Economic Development	Failure to secure landowner / leaseholder consents.	C3	Significant	Significant	This creates delay and may require Compulsory Purchase Order.
14	Families and Communities (Childrens Services & Learning)	Failing to prevent a major child protection failure.	C3	Significant	Significant	The likelihood of such a failure relies on the quantity and calibre of child protection capacity, and the robustness of SCC and its partners meeting their child protection obligations. The immediate risk is exacerbated by staffing and resource pressures across all agencies.
15	Corporate Services	Risks arising from industrial action and legal challenge in respect of Terms and Conditions changes.	C3	Significant	Significant	
16	Families and Communities (Health & Adult Social Care)	There is a risk that final relevant legislation may not reflect the intentions set out in consultation documents, white papers and parliamentary bills resulting in requirements for changes that differ from initial policy planning intentions.	C3	Significant	Significant	
17	Families and Communities (Health & Adult Social Care)	There is a risk that the current workforce does not possess the skills necessary to deliver the changes currently identified resulting in inadequate organisational performance/ poor outcomes for service users, unmet needs / increased risk to clients/ poor staff morale.	C3	Significant	Significant	
18	Families and Communities (Health & Adult Social Care)	There is a risk that the Directorate will lose Senior Management capacity through organisational change within the Directorate and in the Council. Many tasks and decisions are delegated to Level 1 Managers and there will be less of these posts to provide Senior Management support and cover arrangements for many routine processes and emergency situations.	C3	Significant	Significant	
19	Environment	Insufficient infrastructure funding to support our economic development and city renaissance aspirations.	C3	Significant	Significant	
20	Environment	Impact of significant organisational change may affect ability to deliver efficiency and budget savings commitments and future priority plans, including minimum statutory service standards.	C3	Significant	Significant	
21	Environment	Adverse impact of environmental conditions (i.e. weather) on highway infrastructure.	C3	Significant	Significant	
22	Environment	Reduced capacity to deliver services and priorities with reduced staff & financial resources.	C3	Significant	Significant	
23	Environment	Ability to respond appropriately to changes to the legislative & regulatory framework, including the deregulation agenda.	C3	Significant	Significant	
24	Economic Development	Failure to secure relevant grant funding opportunities due to the reduction of external funding opportunities and government grants.	C3	Significant	Significant	
25	Economic Development	Reduced capacity / skill shortages following organisational changes / reconfiguration.	C3	Significant	Significant	
26	Economic Development	Significant changes in National policy / legislation affecting current services.	C3	Significant	Significant	
27	Economic Development	Failure to secure external funding for major projects or to support community groups / activ	C3	Significant	Significant	

28	Economic Development	Failure to secure grant funding opportunities.	C3	Significant	Significant	
29	Economic Development	Deliver young offenders programme of work placements/Pre-employment training.	C3	Significant	Significant	
30	Economic Development	Ability to respond appropriately to changes to the legislative and regulatory framework, including the de-regulation agenda.	C3	Significant	Significant	
31	Corporate Services	The Accommodation Strategy Action Plan (ASAP) is delayed or fails to meet key milestones.	C4	Significant	Marginal	
32	Economic Development	Failure to retain relevant grant funding e.g. SNAC / NCIP.	D2	Low	Critical	The impact would depend on the stage reached in the development programme renegotiations may mitigate the risk
33	Families and Communities (Childrens Services & Learning)	Business continuity arrangements fail to address a major disruption to service.	D2	Low	Critical	
34	Families and Communities (Health & Adult Social Care)	There is a risk that a major incident or prolonged disruption affecting normal service delivery will significantly impair or prevent the Directorate's ability to deliver key services and/or statutory functions.	D2	Low	Critical	
35	Economic Development	Failure to achieve various pre-conditions attached to development / legal agreements.	D2	Low	Critical	
36	Economic Development	Failure to implement a robust flooding strategy and necessary flood defence to facilitate future development.	D2	Low	Critical	
37	Corporate Services	There is an increase in fraudulent activity in light of the current economic climate.	D3	Low	Significant	
38	Corporate Services	The required/expected outcomes and savings from the SSP are not delivered.	D3	Low	Significant	
39	Families and Communities (Health & Adult Social Care)	There is a risk that changes in political policy direction at both local and national level will result in a significant change in direction than that already proposed and being implemented.	D3	Low	Significant	
40	Economic Development	Risk of challenge through OJEU process.	D3	Low	Significant	
41	Economic Development	Failure to deliver commitments or achieve agreed performance or saving targets due to industrial relations issues.	D3	Low	Significant	
42	Economic Development	Partnership opportunities and benefits not being fully realised with Private Sector companies, other departments and/or voluntary organisations.	D3	Low	Significant	
43	Economic Development	Failure to achieve high level of design quality with reduced resources.	D4	Low	Marginal	
44	Economic Development	Failure to deliver commitments, achieve performance targets or demonstrate performance due to insufficient resources.	D4	Low	Marginal	

Likelihood

- (A) Very High : Highly likely to occur
 (B) High : Will probably occur at some time, or in some circumstances
 (C) Significant : Fairly likely to occur at some time, or in some circumstances
 (D) Low : Is unlikely to, but could, occur at some time
 (E) Very Low : May only occur in exceptional circumstances

Impact is considered in terms of:

- Financial impact;
- Reputational impact;
- Impact on delivery of key priorities.

(F) Almost Impossible: Highly unlikely to occur