

Overall Summary - Directorate Risk Registers

22 November 2011

For all types of organisation 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.

No	Directorate	Description	Current Risk Score	Likelihood	Impact	Comments
1	Health and Adult Social Care	Market failure due to safeguarding or business closure.	B2	High	Critical	
2		Public Spending Review reduces resources to support most vulnerable adults in the City		High	Critical	
3	Economic Development	Failure to deliver the agreed efficiency programme resulting in adverse consequences on the Council's budget.	B3	High	Significant	
4		Failure to progress viable development schemes.		High	Significant	
5	Environment	Priority Services are affected by industrial action putting residents at risk		High	Significant	
6	Health and Adult Social Care	Demand for Care Services will continue to rise due to demographic and economic changes		High	Significant	
7	Corporate Services	There are insufficient resources available to deliver all priorities		B4	High	Marginal
8	Children's Services & Learning	Failure to prevent a major child protection failure	C2	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.
9		Failing to manage the current infrastructure to meet the needs of growing numbers of young children needing school places.		Significant	Critical	
10	Economic Development	Failure to secure landowner / leaseholder consents.	C2	Significant	Significant	This creates delay and may require Compulsory Purchase Order.
11		Objections to consents and orders delaying or failing projects.		Significant	Critical	

12	Health and Adult Social Care	Failure to receive 'excellent' ratings from CQC due to condition of internal furnishings within residential homes.		Significant	Critical	
13		Key Suppliers fail to deliver their contractual obligations		Significant	Critical	
14	Children's Services & Learning	Business continuity arrangements fail to address a major disruption to service	C3	Significant	Significant	
15		Damage to leadership role of SCC in services to children and young people as a consequence of changes in government policy		Significant	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.
16	Corporate Services	Industrial action or legal challenge in respect of Terms and Conditions changes		Significant	Significant	
17	Economic Development	Ability to respond appropriately to changes to the legislative and regulatory framework, including the de-regulation agenda.		Significant	Significant	
18		Deliver 'young offenders' programme of work placements/Pre-employment training		Significant	Significant	On track - contractor been selected.
19		Eastpoint Demolition		Significant	Significant	
20		Failure to secure grant funding opportunities		Significant	Significant	Developing sub regional partnership and bidding mechanisms.
21		Failure to secure relevant grant funding opportunities due to the reduction of external funding opportunities and government grants.		Significant	Significant	Several bids have been submitted.
22		Reduced capacity / skill shortages following organisational changes / reconfiguration		Significant	Significant	Ongoing, to be reviewed following outcome of Policy and Performance review across the Council.
23		Significant changes in National policy / legislation affecting current services.		Significant	Significant	
24	Environment	Ability to respond appropriately to changes to the legislative & regulatory framework, including the deregulation agenda.	Significant	Significant		
25		Adverse impact of environmental conditions (i.e. weather) on highway infrastructure.	Significant	Significant		

26		Reduced capacity to deliver services and priorities with reduced staff & financial resources		Significant	Significant	
27		The Decent Homes Transformation Programme will not succeed without effective Trade Union consultation and engagement and empowerment of staff		Significant	Significant	
28		The level of infrastructure funding secured by SCC is insufficient to meet all of our aspirations.		Significant	Significant	
29	Health and Adult Social Care	Current workforce skills do not meet the needs of service delivery changes		Significant	Significant	
30		Final relevant legislation requires significant changes to initial policy and planning intentions.		Significant	Significant	
31		Loss of Senior Management capacity through structural changes		Significant	Significant	
32	Corporate Services	The Accommodation Strategy Action Plan (ASAP) is delayed or fails to meet key milestones	C4	Significant	Marginal	
33	Economic Development	Failure to achieve various pre-conditions attached to development / legal agreements.	D2	Low	Critical	
34		Failure to implement a robust flooding strategy and necessary flood defence to facilitate future development.		Low	Critical	
35		Failure to retain relevant grant funding e.g. SNAC / NCIP		Low	Critical	The impact would depend on the stage reached in the development programme renegotiations may mitigate the risk
36	Health and Adult Social care	Major incident or prolonged disruption affecting normal service delivery		Low	Critical	
37	Corporate Services	The required/expected outcomes and savings from the SSP are not delivered	D3	Low	Significant	
38		There is an increase in fraudulent activity in light of the current economic climate		Low	Significant	
39	Economic Development	Failure to deliver commitments or achieve agreed performance or saving targets due to industrial relations issues		Low	Significant	At the end of quarter 1, 77% of the Council KKPI's were on target to be achieved and 89% of the Service Actions. This performance was discussed at MBoD on 16th August and to Cabinet on the 5th September.

40		Partnership opportunities and benefits not being fully realised with Private Sector companies, other departments and/or voluntary organisations.		Low	Significant	City Plan was presented to Cabinet on 5th September with a full launch for partners in October at the Southampton Connect Conference.
41		Risk of challenge through OJEU process		Low	Significant	
42	Environment	Failure to maximise the efficiency & effectiveness of the supply chain and internal and external partnerships will lead to the collapse of key Transformation projects.		Low	Significant	
43		Staff or residents are put at risk due to a major incident or event or failure in H&S practices resulting in serious injury or death		Low	Significant	
44	Health and Adult Social Care	Changes in local and national political policy		Low	Significant	Risk updated to reflect required action.
45	Economic Development	Failure to achieve high level of design quality with reduced resources	D4	Low	Marginal	
46		Failure to deliver commitments, achieve performance targets or demonstrate performance due to insufficient resources.		Low	Marginal	PM Connect is used for all major projects. Also monitored through Capital Monitoring Board which the Leaders attends.

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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
- (F) Almost Impossible : Highly unlikely to occur

Impact is considered in terms of:

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