SOUTHAMPTON CITY COUNCIL
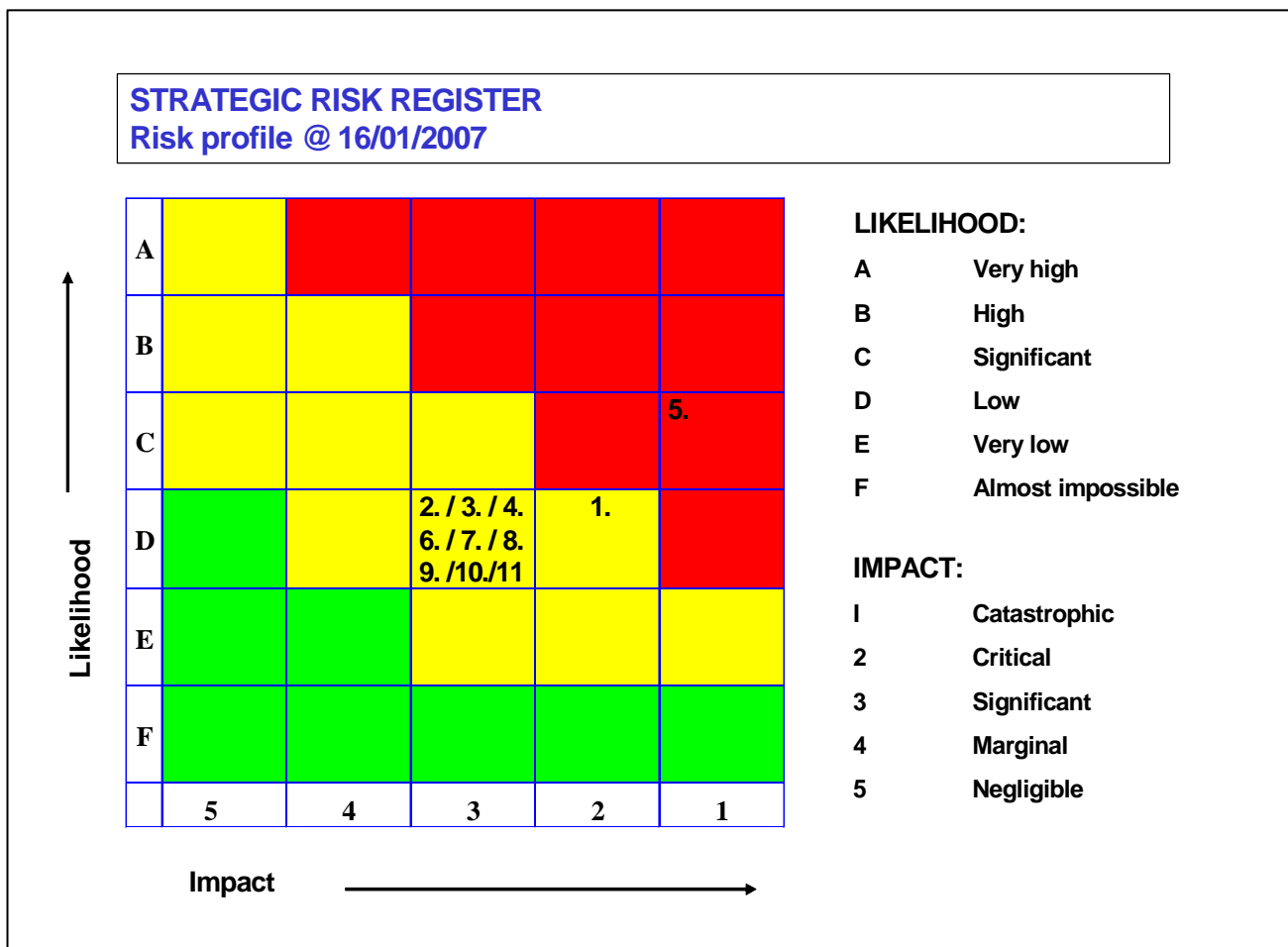## Strategic Risk Register
2006-2007

STRATEGIC RISK REGISTER 2006-2007

The following document represents the key strategic risks for the Council. This list of key strategic risks has been considered in relation to the Council's key priorities and has been developed based on a review of range of key strategic documents and taking into account the output from the Directorate Risk Registers together with a review of the 2005-06 Strategic Risk Register. For each risk there is an associated 'Risk Management Action Plan' ("RMAP").

	DESCRIPTION OF KEY STRATEGIC RISK
1.	The Council fails to identify and respond to the need for organisational change taking into account external and internal factors and fails to effectively drive organisational direction.
2.	The potential frequency of changes in the political makeup of the Council present constraints in making medium / long term strategic decisions.
3.	Members are not provided with sufficient, relevant, accurate, reliable and robust information upon which to base strategic decisions taking into account the needs, demands and aspirations of the local community.
4.	The Council is not sufficiently attractive as an employer to retain key staff or attract high quality individuals to key posts and as a consequence management and/or staff skills are inadequate to support and deliver the agreed levels of service and/or there is a breach or failure to meet the requirements of new or existing legislation.
5.	The IT infrastructure is not sufficiently resilient or aligned with the current and future business needs of the Council
6.	Arrangements to identify and/or reduce the risk of fraud and corruption are not effective.
7.	A major incident or event occurs that significantly impairs the Council's ability to function or provide a service to customers.
8.	Key partnerships or key contracts may breakdown and/or fail to deliver service objectives.
9.	Failure to focus on delivering service improvements and 'value for money' and not meeting our targets or those identified by external assessors.
10.	Major infrastructure or economic development plans and initiatives are announced, raising public expectation, but are not delivered.
11.	There is no strategic approach to the management of property, plant, equipment and other physical assets.

Risk Profile

The key risks have been assessed in respect of the likelihood and impact as follows:-

STRATEGIC RISK REGISTER
Risk profile @ 16/01/2007

	5	4	3	2	1
A					
B					
C				5.	
D			2. / 3. / 4. 6. / 7. / 8. 9. /10./11	1.	
E					
F					

Likelihood ↑

Impact →

LIKELIHOOD:

A	Very high
B	High
C	Significant
D	Low
E	Very low
F	Almost impossible

IMPACT:

I	Catastrophic
2	Critical
3	Significant
4	Marginal
5	Negligible

New and Emerging Risks

New and/or emerging key risks identified by either the Chief Officers Management Team ("COMT") or the Policy Co-ordinators Team ("PCoT") are added to the Risk Register during the course of the year.

Monitoring and Review

The Strategic Risk Register is reviewed on a quarterly basis by PCoT in their capacity as the Council's 'Risk Management and Controls Assurance Group' with any significant proposed changes or issues of concern report to COMT. COMT formally review the 'risk register' and associated 'RMAPs' on a six monthly basis.

The Strategic Risk Register will also be reported annually to the Council's Audit Committee in their capacity as the member body with responsibility for providing independent assurance to the Standards and Governance Committee on the adequacy of the risk management framework and the internal control and reporting environment, including (but not limited to) the reliability of the financial reporting process and the statement of internal control.

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SOUTHAMPTON CITY COUNCIL - STRATEGIC RISK REGISTER 2006-07

Owned by: Brad Roynon – Chief Executive **Last Review Date: 5th December 2006** **Next Review Date: 16th January 2007**

Risk No.	Current Risk Score	Target Risk Score	Description of Risk Event
	[from risk matrix]	[improved position]	
1.	D2	E2	**The Council fails to identify and respond to the need for organisational change taking into account external and internal factors and fails to effectively drive organisational direction.**

Risk matrix: Likelihood (A–F) vs Impact (5,4,3,2,1)

Link to key objective / organisational value	Action/controls already in place	Adequacy of action/control to address risk	Required management action/control	Responsibility for action	Critical success factors & KPI's	Review frequency	Key dates
"Deliver outcomes and strive for continuous improvement"	Medium Term Plan	Adequate	• Ensure Key issues are addressed as set out in checklist provided	Joy Wilmot-Palmer - Head of Corporate Policy & Performance / Executive Directors		Biennial	March 2007
"Maintain a customer focus"	Corporate Business Planning process.	PESTLE analysis linked to EFQM used to identify need for organisational change at BU level for BP for 2007-08.	• BP's quality assured by Executive Directors / Policy co-ordinators and CPPD. • Key commitments included in CIP and monitored quarterly	Joy Wilmot-Palmer - Head of Corporate Policy & Performance	No failures in Service delivery. Performance against a basket of PI's	Quarterly	1st April 2007 BP's in place

		Government White Papers and changes in legislation briefed to Members.	Identifies proposed and new legislation and likely impact for Members	• Need to ensure system in place to identify proposed changes to legislation that will affect the working of the Council.	Mark Heath – Monitoring Officer	Legislation implemented. No adverse Audit Commission report or legal challenge etc.	Annually for CIP	Ongoing
		Directorate Risk Registers in place	Adequate but needs to be further imbedded	• Each Directorate required to develop a Directorate Risk Register which will be informed by the output from the business planning process. • Quality checked by Risk Management • Reported to Audit Committee	Executive Directors / Policy Co-ordinators		Quarterly	Quarterly monitoring dates
		External Inspection	Adequate, Inspection at corporate and service level	• Implementation and monitoring of improvement plans as a result of external inspection.	Executive Directors / Policy Co-ordinators	CPA rating	Quarterly	CA / JAR inspection June 2007

SOUTHAMPTON CITY COUNCIL - STRATEGIC RISK REGISTER 2006-07

Owned by: Mark Heath - **Last Review Date: 5th December 2006**   **Next Review Date: 16th January 2007**
Solicitor to the Council

Risk No.	Current Risk Score	Target Risk Score	Description of Risk Event
	[from risk matrix]	[improved position]	
2.	D3	C3	**The potential frequency of changes in the political makeup of the Council present constraints in making medium / long term strategic decisions.**

Link to key objective / organisational value	Action/controls already in place	Adequacy of action/control to address risk	Required management action/control	Responsibility for action	Critical success factors & KPI's	Review frequency	Key dates
"Deliver outcomes and strive for continuous improvement"	Regular Group Leader meetings (recently enhanced in agreement with the Group Leaders).	Adequate	Need to maintain momentum and ensure that the current approach by Group Leaders to an enhanced set of arrangements is maintained and, if possible, further enhanced	Chief Executive		Annual	
	Member Training programme	Adequate	• Current programme needs further consolidation and development, particularly around development of individual training programmes and plan for all Members	Mark Heath, Solicitor to the Council (but it also requires input from all Chief Officers)		Annual – as approved by Standards and Governance Committee	

Discussion of the provisions in the Local Government Bill about 4-yearly electoral cycles to be held between Solicitor to the Council and the political groups	Adequate	• Solicitor to the Council has conducted briefings already for Members on the content of White Paper and now Local Government Bill. Further work to take place post May elections to brief Groups on detailed arrangements in relation to Bill and electoral cycle, with eye to Government timeframe that Bill intended to receive Royal Assent in autumn, so that possible decisions as to electoral cycle could be taken in 2008 with implementation in 2011	Mark Heath, Solicitor to the Council		Ongoing	
Enhancements and improvements to the role of Scrutiny to make it more relevant and useful	Adequate	• This is one of the significant parts of the Local Government Bill and will need to be development prior to Royal Assent (October 2007)	Joy Wilmot-Palmer, Head of Policy & Performance			
Using all channels and mechanisms to secure all-party (or at least majority party) support for major projects, e.g. SSP	Adequate	• This is particularly pertinent in a No Overall Control Council and needs to be monitored and reviewed at all times. The improved Group Leaders briefing arrangements on a monthly basis will assist.	Chief Executive			
Effective use of Policy Framework plans and Budget, all of which require Full Council approval (i.e. majority of Members to approve)	Adequate	• Officers need to keep very carefully in mind those matters which do need Full Council approval and to use it effectively, as demonstrated by the SSP	Joy Wilmot-Palmer, Head of Policy & Performance (but all Policy Co-ordinators have overarching responsibility for policy co-ordination, particularly but not exclusively through the Policy Framework)			

SOUTHAMPTON CITY COUNCIL - STRATEGIC RISK REGISTER 2006-07

Owned by: Brad Roynon – Chief Executive   **Last Review Date: 5th December 2006**   **Next Review Date: 16th January 2007**

Risk No.	Current Risk Score	Target Risk Score	Description of Risk Event
	[from risk matrix]	[improved position]	
3.	D3	E3	**Members are not provided with sufficient, relevant, accurate, reliable and robust information upon which to base strategic decisions taking into account the needs, demands and aspirations of the local community.**

Link to key objective / organisational value	Action/controls already in place	Adequacy of action/control to address risk	Required management action/control	Responsibility for action	Critical success factors & KPI's	Review frequency	Key dates
"Work with integrity, openness and honesty"	Council constitution and corporate governance standards – this includes report templates, report author training, delegated decision notices, enhanced Forward Plan and other aspects of openness, accountability and transparency, both required by legislation and unique to the Council.	Adequate	● Keep under review	Mark Heath – Monitoring Officer		Annual	

"Deliver outcomes and strive for continuous improvement"	Group Leader briefings / Cross party Member briefings for all strategic issues.	Adequate	• COMT as lead officers for strategic issues responsible for ensuring appropriate briefing framework in place to meet Members needs. • Cross party steering groups on key initiatives and activities. • Executive Directors scheduled presentations before key initiative decisions at Full Council.	Executive Directors and Policy Co-ordinators		Annual programme now in place	Ongoing
"Maintain a customer focus"	Employee competency statements and corporate standards training	Currently work in progress on competency statements many in place but not complete	• Competency statements for all posts to be in place by 1st April 2007	Tracey Upton – Head of Human Resources	Competency statements for all posts in place	At recruitment or change	1st April 2007
"Value diversity"	Customer Engagement Strategies	Adequate	Overall summary to incorporate the two specific controls / issues detailed below	Joy Wilmot-Palmer - Head of Corporate Policy & Performance			
	Consultation with community on key issues Customer satisfaction surveys	Adequate	• Need to ensure involvement of market Research Officer	Heads of Service	Consultation results used to inform recommendations Survey results used to inform recommendations		

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Owned by: Carolyn Williamson - **Last Review Date: 5th December 2006**   **Next Review Date: 16th January 2007**
Executive Director of Resources

Likelihood / Impact risk matrix (rows A–F, columns 5 4 3 2 1)

Risk No.	Current Risk Score	Target Risk Score	Description of Risk Event
	[from risk matrix]	[improved position]	**The Council is not sufficiently attractive as an employer to retain key staff or attract high quality individuals to key posts and as a consequence management and/or staff skills are inadequate to support and deliver the agreed levels of service and/or there is a breach or failure to meet the requirements of new or existing legislation.**
4.	**D3**	**E3**	

Link to key objective / organisational value	Action/controls already in place	Adequacy of action/control to address risk	Required management action/control	Responsibility for action	Critical success factors & KPI's	Review frequency	Key dates
"Invest in employees"	People Strategy- in particular the theme 'becoming an employer of choice' and objectives 1-7 (3 of which are Key Priorities listed in HR's business plan).	Adequate	• Progress against the People Strategy is monitored quarterly and reported to the Head of HR, Executive Director of Resources (via monthly RMT reports), Cabinet, COMT and Scrutiny.	Tracey Upton – Head of Human Resources	Able to retain and attract high quality individuals to key posts.	Quarterly	April 2008
"Maintain a customer focus"	HR has seven key priorities which all relate to becoming the 'employer of choice:- • Provision of a high quality and professional HR service with continuous improvement initiatives in selected areas;	Adequate	• Quarterly monitoring of progress via the business plan review. • Monthly monitoring by HR Management Team	Tracey Upton – Head of Human Resources		Quarterly	

"Deliver outcomes and strive for continuous improvement"	• Achievement of the Equality Standard at level 3; • Support the organisation to achieve IIP re-accreditation; • Design and implementation of a management development programme; • Implementation of a competency framework to help managers target employee development and performance management; • Identify and implement interventions to improve attendance management; • Assist with the development and support of a pilot large-scale flexible working project.						
	Learning and Development Plans	Adequate HoD required to prepare an annual L&D Plan.	• Ensure that L&D Plans are reviewed to reflect BP's and individual employee appraisals.	Heads of Division	All employees have minimum of 3 days learning per year. KPI's show continuous improvement	Annual	
	Corporate Standards Training for Level 1 and Level 2 Managers and published on intranet	Adequate	• Ensure Corporate Standards Training for new Level 1 and Level 2 managers is included as part of the induction programme	Executive Directors / Heads of Division	No breaches of Corporate Standards or adverse Audit Commission report		
	Development of NETConsent	NET Consent still to be introduced	• Introduction of NET Consent at earliest opportunity.	Tracey Upton – Head of Human Resources / Martin Tipper – Head of ITS	All Level 1 & 2 managers completed NET Consent		
	Appraisal process and 1-2-1's	Adequate. Corporate Standard	• All managers to ensure Corporate Standards are adhered to.	Heads of Service	Annual Appraisal for each employee	Annual	

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		Competency statements	In progress	• Competency statements for all posts to be in place by 1st April 2007	Tracey Upton – Head of Human Resources	Competency statements for all posts in place.	Annual (as part of appraisal process)	
		Adoption of EFQM excellence model	Adopted to inform 2007-08 Business Plans	• Implementation of EFQM as part of BP process for 2007-08	Carolyn Williamson – Executive Director of Resources	Improved performance reflected in PI's / external inspection reports. Improved employee satisfaction.	Annual	31st March 2007

SOUTHAMPTON CITY COUNCIL - STRATEGIC RISK REGISTER 2006-07

Owned by: Carolyn Williamson -   Last Review Date: 5th December 2006   Next Review Date: 16th January 2007
Executive Director of Resources

Risk matrix (Likelihood A–F vertical, Impact 5–4–3–2–1 horizontal)

Risk No.	Current Risk Score	Target Risk Score	Description of Risk Event
	[from risk matrix]	[improved position]	
5.	C1	D1	**The IT infrastructure is not sufficiently resilient or aligned with the current and future business needs of the Council.**

Link to key objective / organisational value	Action/controls already in place	Adequacy of action/control to address risk	Required management action/control	Responsibility for action	Critical success factors & KPI's	Review frequency	Key dates
"Deliver outcomes and strive for continuous improvement" **"Maintain a customer focus"**	<u>IT Disaster Recovery arrangements:-</u> Back- up of data on a daily basis Back-up data stored off site Disaster Recovery arrangements are included within the specification for the SSP. Business Continuity Plan for the ITS service area in place however this plan is not an IT Disaster Recovery Plan	Inadequate:- Although data is secure there are <u>no</u> arrangements in place to quickly replace or replicate the computer suite in the event of a disaster.	• To complete the actions outstanding within the Internal Audit Action Plan. • Ensure that the arrangements proposed by the SSP organisation are in line with the Council's business requirements. • Revisit the position if the SSP is not proceeded with. • Brief members as to the current position.	Martin Tipper – Head of ITS	Able to restore access to systems with a timescale aligned to the business needs.	Ongoing	June 2007 When final decision on whether the SSP is to proceed is made. Feb 2007 – Report to COMT to agree recovery priority and timescale.

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Short term resilience:- Addressed via the Infrastructure Project - New servers; - Migration to Microsoft Active; - Replacement of core network (switches etc); - Standardised Hardware; - PI's on system availability; - Diagnostic tools.	Adequate	• Infrastructure Project is managed via the 'Infrastructure Replacement Board'. • Progress is also reported and monitored by the Resources Board (PCoT) in their capacity as the IT Strategy Group	Martin Tipper – Head of ITS	PI's on system availability met. Reduction in helpdesk calls. Reduction in complaints.	Monthly reports produced	Migration proof of concept Feb 07 Build & test, trial & pilots Apr 07 Desktop deployment May 07 Project completion May 07
Understanding the business needs:- ICT Business analysts in place to provide an interface between ITS and service areas. All Divisions are required to develop an ICT plan as part of the corporate business planning process Resources Board (PCOT) in place	Adequate	• Monthly meetings held with Divisional Contacts and PCOT Members. Provides an opportunity for issues to be raised on both sides which are then fed back to DMG members for resolution. • Divisional IS Plans analysed for common themes that are then incorporated into the ICT Strategy each year. • Reports to COMT. Approves ICT Projects identified in Divisional IS Plans	Martin Tipper – Head of ITS	Monthly Highlight Reports agreed Divisional IS Plans agreed with Policy Co-ordinators; Annual ICT Strategy	Monthly Highlight Reports are produced Divisional IS Plans produced annually & reviewed monthly	Monthly meetings held Divisional IS Plans produced by March each year; ICT Strategy by September each year 19th Jan 07 and quarterly thereafter

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**Owned by: Carolyn Williamson -   Last Review Date: 5th December 2006   Next Review Date: 16th January 2007
Executive Director of Resources**

Risk matrix:

Likelihood					
A					
B					
C					
D					
E					
F					
	5	4	3	2	1
		Impact			

Risk No.	Current Risk Score	Target Risk Score	Description of Risk Event
	[from risk matrix]	[improved position]	
6.	D3	E3	**Arrangements to identify and/or reduce the risk of fraud and corruption are not effective.**

Link to key objective / organisational value	Action/controls already in place	Adequacy of action/control to address risk	Required management action/control	Responsibility for action	Critical success factors & KPI's	Review frequency	Key dates
"Work with integrity, openness and honesty"	Anti Fraud and Anti Corruption Policy and Strategy in place.	Adequate	• Policy and Strategy to be reviewed and updated as necessary; • To be aligned with the Fraud Response Plan; • Annual reminder should be issued to all staff.	Sarah Dennis – Chief Internal Auditor	No fraud or corruption	Annual review of the Policy and Strategy	Audit Committee meeting -1st quarter 2007
	Fraud Response Plan being developed.	Adequate - subject to further consultation and formal adoption	• Fraud Response Plan currently in draft. Consultation with Legal, HR and ITS required before being presented to the Audit Committee for adoption.	Sarah Dennis – Chief Internal Auditor		Annual Review	Audit Committee meeting -1st quarter 2007

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Whistle blowing "Duty to Act" Policy in place.	Adequate	• Policy to be reviewed and updated as necessary; • To be aligned with the Fraud Response Plan; • Annual reminder should be issued to all staff.	Mark Heath – Solicitor to the Council.		Annual review of the Policy	Report to S & G Committee
Corporate Standards Training for L1 and L2 Managers provided and information published on intranet under 'Corporate Standards'.	Adequate	• Training to become part of annual training programme; • Include as part of the corporate induction process; • NET Consent to be launched	Chief Executive/ Executive Director of Resources / Monitoring Officer / Head of HR		Ongoing	April 2007
Financial and Contract Procedure Rules in place.	Under review	• Both Financial and Contract Procedure Rules are being rewritten	Mark Heath - Monitoring Officer / Carolyn Williamson-CFO		Every 3 years	June 2007
Register of gifts and hospitality in place for both Members and Employees.	Adequate	• Ongoing periodic review of Members; Register by the Monitoring Officer; • Ownership and responsibility for periodic review of staff register to be clarified; • Annual reminder should be issued to all staff.	Monitoring Officer Tracey Upton-Head of human Resources		Annual Annual	
Benefit Fraud investigation Unit in place.	Adequate	• DWP defined performance standards • BFI review process • Intensive care process	Alex Moore – Head of Transactions		Quarterly report from DWP to Chief Exec Quarterly report to COMT / Cabinet / Scrutiny Monthly report to Exec Director	Ongoing
Anti Money Laundering Policy in place. Money Laundering Reporting Officer appointed.	Adequate	• Policy and guidance to be review and updated annually; • Annual reminder should be issued to all staff.	Alex Moore – Head of Transactions		Annual	Report to S & G Committee
Code of Corporate Governance formally adopted and published on Intranet.	Adequate	• Annual report on compliance with the Code of Corporate Governance to Standards & Governance Committee with ad hoc reports as necessary.	Mark Heath – Solicitor to the Council.		Annual	April 2007

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Owned by: John Beer -   **Last Review Date: 5th December 2006**   **Next Review Date: 16th January 2007**
Executive Director of Communities, Health and Care

A					
B					
C					
D					
E					
F					
Likelihood	5	4	3	2	1
			Impact		

Risk No.	Current Risk Score	Target Risk Score	Description of Risk Event
	[from risk matrix]	[improved position]	**A major incident or event occurs that significantly impairs the Council's ability to function or provide a service to customers.**
7.	**D3**	**D4**	
It is acknowledged that a number off associated threats are beyond our control. The nature and origin of the risk remain critical to score and are linked with risks 5, 6 and 12			

Link to key objective / organisational value	Action/controls already in place	Adequacy of action/control to address risk	Required management action/control	Responsibility for action	Critical success factors & KPI's	Review frequency	Key dates
"Deliver outcomes and strive for continuous improvement"	Business Continuity Plans	Divisional Plans in place within all service areas to corporate template. Corporate standard and consistency varies between service areas. Effective response to recent localized IT and accommodation difficulties	• Corporate ownership at Executive and Service Head level; • Annual divisional and directorate review to include exercise and testing; • Potential Flu Pandemic Plan to be maintained and exercised.	John Beer – Executive Director Communities, Health and Care. Graham Wyeth (EPU) Executive Directors Heads of Service	Civil Contingencies Act compliant, CPA high scoring	Annually – April.	Next review due April 2007

	SCC Major Incident Plan	CCA compliant, reviewed and republished June 2006	• Further review due April 2008; • Ongoing training and exercise schedule.	Graham Wyeth(EPU)	Additional to above effective response to any corporate wide disruptive challenge	2- yearly	April 2008
	Emergency Response Team	Adequate resourcing and response capability. Weekly on call rota	• Ongoing monitoring and replacement of displaced staff; • Adequate ongoing training and exercising.	Graham Wyeth(EPU)	As above and effective/adequate response as incidents dictate	Ongoing	Quarterly cold call exercise
	Emergency Control Centre arrangements established and tested.	Effectively maintained and available at all times. Last tested interagency exercise February 2006	• Ongoing monitoring of facility and technical infrastructure; • Further exercise scheduled March 2007; • Inventory; • Compatible SSP capability.	Graham Wyeth Sandy Kissane Liz Batten (EPU)	As above	Ongoing	March 2007 exercise
	Emergency Operating Procedures	MIP& other subordinate plans adequately outlined, certain service business continuity plans room for improvement/consistency	• MIP none; • Business Continuity Plans – ongoing raising of awareness and commitment to ensure timeliness and consistency of response.	Heads of Service/ Performance Managers Graham Wyeth EP & BC Manager to ensure consistency & maintain corporate awareness	As above	Annually or more regularly as incident feedback dictates	31st May 2007
	Risk assessment of major incidents and events	Community Risk Register and certain impact assessments in place. Dynamic Risk Assessment to spontaneous incidents initiated by Emergency Services or internal service head.	• Ongoing awareness and interagency information exchange; • Component of pre-public event planning; • Emergency Rest Centre plan in place.	Service Heads Graham Wyeth(EPU) Craig Lintott, Special Events Manager Paul Williams Performance & Resources Manager	As above	Annually or more frequently as incidents may dictate	Ongoing

Apppendix

Owned by: Brad Roynon – Chief Executive   **Last Review Date: 5th December 2006**   **Next Review Date: 16th January 2007**

Risk No.	Current Risk Score	Target Risk Score	Description of Risk Event
	[from risk matrix]	[improved position]	
8.	D3	E3	Key partnerships or key contracts may breakdown and/or fail to deliver service objectives.

Link to key objective / organisational value	Action/controls already in place	Adequacy of action/control to address risk	Required management action/control	Responsibility for action	Critical success factors & KPI's	Review frequency	Key dates
"Deliver outcomes and strive for continuous improvement"	Local Area Agreement & Performance Management Framework	Adequate	• To ensure the agreement and framework completed and signed off by Government Dept (GOSE).	Joy Wilmot-Palmer - Head of Corporate Policy & Performance	Stretch targets achieved	Quarterly	1st April 2007
"Maintain a customer focus"	Lead Executive Directors and Southampton Partnership Co-ordinator	Wide range of Partnerships in place. Need to focus on core set	• COMT to agree the core Partnerships which are critical to delivering the Council's agenda.	Joy Wilmot-Palmer - Head of Corporate Policy & Performance	Core set of Partners agreed and 'governance' arrangements in place.	Annual fit for purpose review	1st April 2007

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Contract standing orders	Under review.	• Contract Procedure Rules are being rewritten (June 07)	Mark Heath - Monitoring Officer / Carolyn Williamson- CFO		Every 3 years	1st April 2007
Range of meetings with partners to monitor mutually agreed objectives	Adequate	• COMT to agree the core Partnerships which are critical to delivering the Council's agenda; • List of all partnerships and audit review of adherence to 'best practice'; • Implement Audit Action Plan; • Monitor adherence to standards.	Joy Wilmot-Palmer - Head of Corporate Policy & Performance	Core set of Partners agreed and 'governance' arrangements in place.	Annual fit for purpose review	1st April 2007
Quarterly performance monitoring review with reports to Cabinet and scrutiny	Adequate	• Need to develop performance monitoring to performance management.	Joy Wilmot-Palmer - Head of Corporate Policy & Performance	Continuous improvement across all service area.	Quarterly	1st April 2007

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Owned by: Brad Roynon – Chief Executive **Last Review Date: 5ᵗʰ December 2006**   **Next Review Date: 16ᵗʰ January 2007**

	Risk No.	Current Risk Score	Target Risk Score	Description of Risk Event
		[from risk matrix]	[improved position]	Failure to focus on delivering service improvements and 'value for money' and not meeting our targets or those identified by external assessors.
	9.	D3	E3	

Likelihood / Impact matrix:

		5	4	3	2	1
	A	yellow	red	red	red	red
	B	yellow	yellow	red	red	red
	C	yellow	yellow	yellow	red	red
	D	green	yellow	yellow	yellow	red
	E	green	green	yellow	yellow	yellow
	F	green	green	green	green	green

Link to key objective / organisational value	Action/controls already in place	Adequacy of action/control to address risk	Required management action/control	Responsibility for action	Critical success factors & KPI's	Review frequency	Key dates
"Deliver outcomes and strive for continuous improvement"	CIP - targets and commitments performance monitoring	Adequate Monitors performance against targets	• Ensure targets are SMART; • Link between performance and financial targets to determine vfm.	Executive Directors & Policy Co-ordinators	Annual AES submission meets 2.5% target	Quarterly	Ongoing
"Maintain a customer focus"	Budget - Financial monitoring in place	Adequate	• Ensure appropriate budget management framework in place; • Effective training and support; • Adherence to standards.	Carolyn Williamson- CFO Carolyn Williamson- CFO COMT		Monthly	

Annual efficiency included in service and financial planning and Business Planning	Identified as part of budget process	• More detailed work on efficiency at Directorate and Divisional level during the year as initiatives develop.	COMT		Half yearly	April / Nov
Annual vfm self assessment	Requires further development	• Develop use of vfm profiles to highlight areas for efficiency review.	Executive Directors & Policy Co-ordinators		Annual	
CPA Audit Commission Annual letter	Adequate	• Develop action plans to respond to any identified areas for improvement	Joy Wilmot-Palmer - Head of Corporate Policy & Performance Carolyn Williamson- Executive Director of Resources		Annual	

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Owned by: Lorraine Brown –   **Last Review Date: 5th December 2006**   **Next Review Date: 16th January 2007**
Executive Director of Environment

Risk No.	Current Risk Score	Target Risk Score	Description of Risk Event
	[from risk matrix]	[improved position]	
10.	D3	D4	**Major infrastructure or economic development plans and initiatives are announced, raising public expectation, but are not delivered.**

Link to key objective / organisational value	Action/controls already in place	Adequacy of action/control to address risk	Required management action/control	Responsibility for action	Critical success factors & KPI's	Review frequency	Key dates
"Deliver outcomes and strive for continuous improvement"	Regular briefing of Cabinet Members and Scrutiny Panels on key issues.	Adequate	• Introduce procedure for high priority development applications	Tim Levenson - Head of City Development and Economy / Andy Scate - Head of Planning & Sustainability	Increase in infrastructure schemes delivered against the original programme	Quarterly	April 07
"Maintain a customer focus"	Minimum half yearly update on capital and revenue financial information.	Adequate	• Increased Head of Service involvement in major projects	Lorraine Brown – Executive Director of Environment	Increased number of project milestones met.		April 07

Environmental Capital Monitoring Board	Good	• More rigorous approach to be put in place to project management process including proper project briefs at the commencement of projects.	Lorraine Brown – Executive Director of Environment		Quarterly	Feb. 07
Corporate communications systems and procedures including PR involvement	Adequate	• More focussed message management with key audiences.	Liz Kite/ Tim Levenson/ Andy Scate		Quarterly	Feb 07
Training for project managers	Adequate	• Extend the project management training to more staff	Lorraine Brown – Executive Director of Environment		Quarterly	April 07
Southampton Online – keeping the public informed of progress	Adequate	• Ensure cross cutting strategic projects regularly discussed at Environment DMT and at PCoT	Lorraine Brown – Executive Director of Environment		Quarterly	Feb 07
Economic delivery plans (Plan for Prosperity, PUSH, LAA) monitoring against key actions	Adequate	• Develop EDE LAA monitoring • Establish partnership • Ensure effective monitoring is in place	Lorraine Brown – Executive Director of Environment		Quarterly	April 07

SOUTHAMPTON CITY COUNCIL - STRATEGIC RISK REGISTER 2006-07

Owned by: Carolyn Williamson -   Last Review Date: 5th December 2006   Next Review Date: 16th January 2007
          Executive Director of Resources

Likelihood / Impact matrix (rows A–F, columns 5 4 3 2 1)

Risk No.	Current Risk Score	Target Risk Score	Description of Risk Event
	[from risk matrix]	[improved position]	
11.	D3	E3	**There is no strategic approach to the management of property, plant, equipment and other physical assets.**

Link to key objective / organisational value	Action/controls already in place	Adequacy of action/control to address risk	Required management action/control	Responsibility for action	Critical success factors & KPI's	Review frequency	Key dates
"Invest in employees"	Corporate Asset Management Plan in place	Adequate	• Reviewed and monitored annually and approved by cabinet.	John Sears – Head of Property Services	Effectively managed and properly resourced approach to the management of property and other physical assets.	Annual	Sept/Oct 2007
"Deliver outcomes and strive for continuous improvement"	Strategic issues are considered by the Resources Board	Adequate	• Approve AMP annually before cabinet; • Quarterly meeting – opportunity to approve changes / additions during the year.	John Sears – Head of Property Services		Quarterly	

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		Corporate Asset Group with cross directorate membership	Adequate	• Quarterly operational review of decisions within Corporate Plan.	John Sears – Head of Property Services		Quarterly	
		Condition surveys / DDA assessments re use/ access to property	Adequate	• Ensure budget provision to properly resource budget / survey programme.	John Sears – Head of Property Services		Annual	
		Investment in a new corporate asset management database	Adequate	• Ensure condition surveys and other relevant information is all contained within the database development. •	John Sears – Head of Property Services		Ongoing developments	April 2007