

ITEM NO: 10 Appendix 2 SUMMARY - DIRECTORATE RISK REGISTERS - 2008/09

Directorate	Risk Category	Risk Description	Original Risk Score	Target Risk Score	Next Review Date
Column1	Column2	Column3	Column4	Column5	Column7
CSL	Competitive	Failure to meet ambitious targets in relation to headline LAA targets for service outcomes and other key service performance, e.g. raising standards in GCSE, Key Stage 2 results or arrangements for Children in Care, or closing the gap in ECM outcomes between priority neighbourhoods and other parts of the city, and associated risks to future performance and LAA reward grant.	A3 (R)	B4 (A)	*Jul-08
CX	Competitive	Client Satisfaction – Failing to ensure client satisfaction leading to a lack of confidence in the service and a hesitancy or refusal to seek legal advice	E4 (G)	F4 (G)	Oct-08
ENV	Competitive	Congestion targets are not met in the City and City Centre resulting in the City becoming less competitive and less attractive due to • New developments (e.g. IKEA); • Inadequate traffic management processes	C3 (A)	E3 (A)	Jul-08
NEIGH	Competitive	Failure to achieve improved performance on under-performing performance indicators which could adversely affect CPA position.	D3 (A)	D4 (A)	Oct-08
RSCES	Competitive	Failure to communicate and monitor the changing standards required to meet the CPA Use of Resources Level 3	D3 (A)	F3 (G)	Sep-08
CHC	Customer / Citizen	Failure to meet Local Area Agreement (LAA) targets for Healthy Communities and Older People and Safer, Stronger Communities due to changes in funding and a lack of awareness of the process and the time that it will take to bring staff up to the required level of awareness	C3 (A)	E3 (A)	Aug-08
CSL	Customer / Citizen	Major Child Protection failure	E2 (A)	F2 (G)	*Jul-08
CX	Customer / Citizen	Not proactively managing customer compliments, comments and complaints to ensure that appropriate lessons are learned across the Council and to ensure the continuous improvement of services resulting from this customer feedback.	D3 (A)	F3 (G)	Oct-08
CX	Customer / Citizen	The value of the communication team is not understood by the organisation thus resulting in a lack of investment, support and appropriate professional communication activity with service users, thus reducing satisfaction with council services	C3 (A)	E3 (A)	Oct-08
CX	Customer / Citizen	Failing to gain support for the activities which enhance the council's reputation and increase satisfaction levels for the council as a whole	C3 (A)	E2 (A)	Oct-08
ENV	Customer / Citizen	Failure to reach customer care targets due to: Cultural issues; Capita phase 2 customer contact revised working arrangements ; New corporate targets.	C3 (A)	E3 (A)	Jul-08
NEIGH	Customer / Citizen	The inability to develop effective neighbourhood management working arrangements to secure community engagement and involvement on matters that affect their respective areas.	C3 (A)	D3 (A)	Oct-08
RSCES	Customer / Citizen	An approved Disaster Recovery Plan, meeting business needs, is not in place resulting in an inability to deal with a major incident that puts key systems access at risk	E1 (A)	F1 (G)	Sep-08
CX	Economic	(Communications) - Failing to meet agreed income targets resulting in problems for the Council in delivering its overall budget	C3 (A)	C4 (A)	Oct-08
CHC	Environmental	Managing significant change in demand for services as a result of a health epidemic.	C2 (R)	C3 (A)	Aug-08

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ENV	Environmental	The Council's inability to deal with burials and cremations due to: • Restricted burial land; • Funding for the mercury abatement project; • A crematorium which is fit for purpose in the future.	C3 (A)	E3 (A)	Jul-08
ENV	Financial	Inability to deliver Directorate Transformation and Transformational projects due to a lack of resources	C3 (A)	E3 (A)	Jul-08
NEIGH	Financial	Unable to secure funding streams, including sponsorship, fundraising, Section 106 contributions to support a number of service developments and capital schemes.	C2 (R)	C3 (A)	Oct-08
RSCES	Financial	Phase 2 of Workplace Fast Forward is delayed by procedural and logistical issues resulting in a failure to deliver savings.	C2 (R)	D2 (A)	Oct-08
RSCES	Financial	The sundry debt function suffers due to excessive allocations of resources to deal with the Social Care billing problems, putting the delivery of key functions at risk	D3 (A)	E3 (A)	Oct-08
RSCES	Fraud	Arrangements to identify and/or reduce the risk of fraud and corruption are not effective	D2 (A)	E2 (A)	tba
CHC	Legislative	Inability of the Directorate to achieve Equality Standard 5 due to insufficient resources to manage the INRA programme and the inability to demonstrate continuous improvement	D4 (A)	E4 (G)	Aug-08
ENV	Legislative	Failure to deliver the spatial planning vision for the City due Changing Government rules (this affects our ability to introduce Supplementary Planning Guidance and therefore our ability to meet Political Objectives).	C3 (A)	D3 (A)	Jul-08
RSCES	Legislative	The new Procurement Strategy and Contract Procedure Rules are not adequately communicated to, or understood by, all staff and is therefore not followed within the organisation.	C3 (A)	D3 (A)	Oct-08
CHC	Partnership / Contractual	Breakdown in delivery of health improvements and partnership arrangements due to pressures on partner organisations to reduce their level of commitment and changes in personnel leading to a lack of understanding of roles, responsibilities and governance arrangements.	C2 (R)	D2 (A)	Aug-08
CSL	Partnership / Contractual	Ensuring effective ongoing relationship between SCC and schools over ongoing issues relating to the transfer of support services to Strategic Services Partnership to help prevent; failure of support services, damage to organisational reputation and/or poor service outcomes.	C4 (A)	E4 (G)	*Jul-08
CSL	Partnership / Contractual	Significant loss of confidence in the management of the service in the eyes of key partners in schools and other agencies.	C3 (A)	D3 (A)	*Jul-08
ENV	Partnership / Contractual	Failure to properly implement the Street Lighting PFI contract due to: • Inadequate resources to deal with the level of change; • A lack of appropriate client skills.	C3 (A)	D3 (A)	Jul-08
RSCES	Partnership / Contractual	Failure to manage the SSP contract effectively, resulting in Capita failing to meet the required standards, make savings and improve services	D2 (A)	E2 (A)	Oct-08
CHC	Political	Failure to deliver the requirements of key government policies and programmes including 'Our Health, Our Care, Our Say,' local government white papers and the Thornhill Plus You (TPY), including Eastpoint, regeneration programme due to competing demands for officer time	C2 (R)	E3 (A)	Aug-08

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CHC	Political	That changes in the method of delivery of social care due to implementation of the individual budget approach and achievement of efficiencies destabilises the market for care provision	C2 (R)	C3 (A)	Aug-08
CX	Political	Not mainstreaming the delivery as well as the future development of Local Area Agreements and Multi Area Agreements to ensure that Senior Managers, Members and Residents are aware of the progress made by the Council and its key partners in delivering the agreed priorities, objectives and finances which are set out in these documents.	C2 (R)	D2 (A)	Oct-08
CX	Political	Failure to ensure the Council has Improvement Plans that are able to deliver the accepted recommendations arising from the Corporate Assessment and Joint Area Review; and not managing the monitoring processes in place for the Council's Senior Management and Members to measure the progress of delivering them.	C2 (R)	E2 (A)	Aug-08
CX	Political	Not having the capacity to manage corporate policy and performance improvement, including failure of Scrutiny due to lack of officer resources.	tba	tba	Aug-08
CX	Political	The City Council and Key Delivery Partners fail to develop joined up responses which ensure that the significant changes set out in the Local Government and Public Involvement in Health Act, CSR2007, Sub Regional Review of Economic Development and Regeneration and the Local Government White Paper are implemented in the most cost effective and efficient way for the benefit of local residents.(This risk to be reworded to address the actual delivery of the changes decided upon).	C3 (A)	D2 (A)	Aug-08
ENV	Political	Failure to embed sustainability into the Corporate Culture due to corporate ambivalence.	B4 (A)	C3 (A)	Jul-08
CHC	Professional / Managerial	That key capital projects are not delivered within required timescales and budget due to inadequate resources and external controls that hinder progress.	E3 (A)	F3 (G)	Aug-08
CSL	Professional / Managerial	Failure to secure intended outcomes from key strategic products and activities (e.g. Annual Performance Assessment, Budget Savings targets etc), through management capacity being overwhelmed by competing strategic priorities within the Council / Directorate	B3 (R)	C3 (A)	*Jul-08
CSL	Professional / Managerial	Loss of a major service or service facility (e.g. failure to deliver any significant planned service, either directly or through contracted third parties where this would require significant business contingency arrangements).	C2 (R)	E2 (A)	*Jul-08
CSL	Professional / Managerial	Major failure in relation to the delivery of the Capital Programme, as a consequence of overspend and/or late delivery in relation to capital projects in schools and other children's services settings (e.g.) for Learning Futures adaptations, redbridge, Hare filed, Children's Centres.	C3 (A)	D4 (A)	*Jul-08
CSL	Professional / Managerial	Failure to deliver transformational and other major projects due to lack of project management capacity or insufficient development of succession planning for key activity areas;	C2 (R)	C3 (A)	*Jul-08
CSL	Professional / Managerial	Loss of staff and/or performance during phase 2 of Directorate restructure	C3 (A)	D4 (A)	*Jul-08
ENV	Professional / Managerial	Failure to comply with SWP 91 due to a lack of resource and adequate staff training	D3 (A)	F3 (G)	Jul-08
ENV	Professional / Managerial	Failure to deliver the North South Spine Project due to inadequate project management	C3 (A)	D3 (A)	Jul-08
ENV	Professional / Managerial	Failure to reach Economic Development targets due to a lack of funding, staff and adequate project management	C3 (A)	D3 (A)	Jul-08

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ENV	Professional / Managerial	Failure to transform Highways services due to: • Problems with procurement; • Lack of resources for project management; • Inability to change to an enabling culture and • inadequate skills for the new environment.	C3 (A)	E3 (A)	Jul-08
ENV	Professional / Managerial	The Business Continuity plan is untested	E1 (A)	F1 (G)	Jul-08
NEIGH	Professional / Managerial	That the major projects are not delivered due to the lack of effective project management capacity.	C3 (A)	C4 (A)	Oct-08
NEIGH	Professional / Managerial	The Business Continuity arrangements that are in place are not as effective, robust or comprehensive as expected.	D4 (A)	D5 (G)	Oct-08
NEIGH	Professional / Managerial	Failure to progress mobile working initiatives to secure efficiency gains in key areas of the Directorate due to lack of resources or support from Capita (because of higher priority work)	C3 (A)	D3 (A)	Oct-08
NEIGH	Professional / Managerial	Excessive procurement lead times and lack of capacity in undertaking procurement activity which results in significant delays in starting work or securing anticipated cost benefits.	C3 (A)	D3 (A)	Oct-08
NEIGH	Professional / Managerial	Failure to implement employee development and succession planning, to ensure the workforce has required skills and capacity in the future.	C3 (A)	D3 (A)	Oct-08
CHC	Social	Inability to meet the anticipated increase in service demands and social care costs over the next 5 years due to the local aging population and a reduction in local healthcare provision and finance.	B2 (R)	D3 (A)	Aug-08
CSL	Social	Inability to provide appropriate placements for very vulnerable children, particularly severely disturbed teenagers.	C3 (A)	C4 (A)	*Jul-08
RSCES	Social	Failure to implement an effective Workforce Planning Strategy to meet the organisation's business needs	E2 (A)	F2 (G)	Oct-08
RSCES	Technological	A revised approved IT Strategy is not in place to support the future needs of the organisation	D2 (A)	E2 (A)	Sep-08
RSCES	Technological	The Information Management Strategy has not been reviewed and updated and may therefore fail to meet the current needs of the Authority	D2 (A)	E2 (A)	Sep-08

NOTES * CSL Risk Register: July review not held - 'Next Review Date' rescheduled for September 2008

Key:

Likelihood (Frequency)

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

Impact (Severity)

- 1 Catastrophic
- 2 Critical
- 3 Significant
- 4 Marginal
- 5 Negligible