

SUMMARY - DIRECTORATE RISK REGISTERS

Directorate	Risk Category	Risk Description	Initial Risk Score	Current Risk Score	Target Risk Score	Next Review Date
Resources	Customer/ Citizen	Failure to implement a programme to improve transactional performance in order to meet customer needs and key performance indicators, particularly in Council Tax, Housing Benefits, invoice processing and Social Care billing	E3 (a)	E3 (a)	E4 (g)	Dec. 2009
		The Information Management Strategy Action Plan is not implemented in a timely and effective manner, resulting in a failure to meet the Council's business needs	E4 (g)	E4 (g)	F5 (g)	Dec. 2009
		The internet and intranet redesign project is poorly planned, researched, communicated and implemented, resulting in customer needs and expectations not being met and a measurable 'channel shift' in customer access to services not being achieved	D2 (a)	D2 (a)	E4 (g)	Dec. 2009
	Economic	The Property Strategy Action Plan, and in particular the service building review, is not implemented in a timely and effective manner, resulting in a failure to meet the Council's business needs	C3 (a)	C3 (a)	D3 (a)	Dec. 2009
	Partnership/ Contractual	The Strategic Services Partnership fails to make savings, improve services and deliver its key required outcomes because of a Capita's inability to meet the contract specification and/or a failure by the Client to manage the contract effectively	D2 (a)	D2 (a)	D3 (a)	Dec. 2009
	Political	Failure to maintain or improve the corporate management of the Council in order to achieve at least a Level 2 against the new Use of Resources framework, potentially affecting the Council's CAA organisational assessment score and damaging the Council's image	D2 (a)	D2 (a)	E2 (a)	Dec. 2009
	Professional/ Managerial	As a result of failing to devise, communicate and impose a revised Project Management discipline across the organisation, the Council manages projects in a less than optimum manner and does not meet its business objectives	C3 (a)	C3 (a)	C4 (a)	Dec. 2009
		Key organisational outcomes are not achieved due to a lack of effective and appropriate support for Transformational projects	D2 (a)	D2 (a)	E2 (a)	Dec. 2009
		The Workforce Planning Strategy Action Plan is not implemented in a timely and robust manner, resulting in ineffective policies and processes to address key workforce issues and in particular Equal Pay, attendance management and management development	E2 (a)	E2 (a)	F2 (g)	Dec. 2009

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Directorate	Risk Category	Risk Description	Initial Risk Score	Current Risk Score	Target Risk Score	Next Review Date
Neighbourhoods	Customer/ Citizen	A major incident or event occurs that significantly impairs the Council's / Directorate's ability to function or provide a service to customers.	C1 (a)	C3 (a)	C3 (a)	Oct. 2009
	Professional/ Managerial	Failure to deliver commitments, achieve performance targets or demonstrate performance due to insufficient resources.	C3 (a)	C3 (a)	D3 (a)	Oct. 2009
		The inability to develop effective neighbourhood management work arrangements to secure community engagement and involvement on matters that affect their respective areas.	C3 (a)	C3 (a)	D3 (a)	Oct. 2009
		Failure to secure efficiency gains in key areas of the Directorate due to the lack of timely progress in implementing mobile working.	C3 (a)	C3 (a)	D3 (a)	Oct. 2009
Directorate	Risk Category	Risk Description	Initial Risk Score	Current Risk Score	Target Risk Score	Next Review Date
Environment	Economic	Failure of partnerships to deliver the service required – resulting in both financial and reputational risks	C3 (a)	C3 (a)	D3 (a)	Oct. 2009
		Lack of integration between directorate and corporate prioritisation of resources result in an inability to respond to corporate strategic and improvement requirements, due to lack of staff and financial resources within the services to deliver/ implement	C3 (a)	C3 (a)	D3 (a)	Oct. 2009
		Lack of integration between directorate and corporate prioritisation of resources, result in an inability to respond to economic up-turn, due to lack of staff and financial resources within the services to deliver/ implement	C3 (a)	C3 (a)	D3 (a)	Oct. 2009
		Unexpected or unplanned financial impact on services, due to the overall local and economic situation	B2 (a)	B2 (a)	C3 (a)	Oct. 2009
	Environmental	Inability to maintain key infrastructure within the city, to an acceptable standard, (including the condition of the road and footway infrastructure).	C3 (a)	C3 (a)	D3 (a)	Oct. 2009
	Financial	Risk of significant financial penalties if the council does not meet its carbon reduction targets as well as potential loss of reputation for poor performance in our Use of Resources assessment and LAA designated target (re: CAA judgement). Caused by: insufficient progress made on adaptation and mitigation of climate change and meeting energy efficiency and Carbon Reduction Commitment targets.	C3 (a)	C3 (a)	D3 (a)	Oct. 2009

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Environment	Legislative	Failure to have a timely decision and investment in the Crematorium (following the Crematorium Review) would result in the service being unable to continue operation due to mechanical failure of the cremators (refractory linings currently due for renewal) or lack of mercury abatement within the legislative target date at December 2010.	C3 (a)	C3 (a)	E3 (a)	Oct. 2009
		Risk of prosecution, corporate manslaughter or Health and Safety Executive investigation through failure to ensure effective management and compliance with all Health and Safety requirements particularly in areas of manual labour and management of our responsibilities for partners/ contractors.	D3 (a)	D3 (a)	F3 (g)	Oct. 2009
	Political	Failure of key/ transformation(al) projects or service activity, due to insufficient resources in the face of an increasing number of competing demands and priorities	C3 (a)	C3 (a)	D3 (a)	Oct. 2009
		Unable to relocate all the Town Depot services from Cross House by 2011 – this would result in a missed opportunity for investment through sale of the old Town Depot site, loss of reputation (through not delivering Members expectations) and inadequate facilities and poor accommodation for staff	C2 (a)	C2 (a)	E3 (a)	Oct. 2009
	Professional/ Managerial	Impact on the council's reputation from media coverage, resulting from poor front-line phone/ web customer care	C3 (a)	C3 (a)	E3 (a)	Oct. 2009
		Not having an adequate Business Continuity Plan in place which is effective, robust or comprehensive due to competing demands for officer time – particularly in relation to flood risk and the swine flu epidemic	E1 (a)	E1 (a)	F1 (g)	Oct. 2009
		Risk to maintaining staff and service in the run up to the Highways Public/ Private Partnership and effective delivery of the Street Lighting PFI - which would result in increased costs for alternative partner providers	D3 (a)	D3 (a)	E3 (a)	Oct. 2009
Directorate	Risk Category	Risk Description	Initial Risk Score	Current Risk Score	Target Risk Score	Next Review Date
Health and Adult Social Care	Customer/ Citizen	Failure to meet LAA targets for Healthy Communities and Older People.	B3 (a)	B3 (a)	E3 (a)	Oct. 2009
	Economic	That the transformation of Social Care services through the Putting People First programme fails to realise the required fundamental change in how Social Care within the City is commissioned, provided and delivered.	C2 (a)	C2 (a)	C3 (a)	Dec. 2009
	Environmental	A major health epidemic or pandemic necessitates a change in the way that services are delivered so that statutory duties can be maintained.	C1 (a)	C3 (a)	C3 (a)	Oct. 2009

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Health and Adult Social Care	Partnership/ Contractual	Failure to deliver the key objective identified as part of the Health and Wellbeing Strategy due to a reduced capacity to deliver 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.	B2 (a)	D2 (a)	D2 (a)	Oct. 2009
	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 (a)	C2 (a)	E3 (a)	Oct. 2009
	Social	Failure of plans, including financial plans to meet the anticipated increase in service demands and social care costs over the next 5 years due to the local ageing population.	C2 (a)	D2 (a)	D3 (a)	Mar. 2010
Directorate	Risk Category	Risk Description	Initial Risk Score	Current Risk Score	Target Risk Score	Next Review Date
Children's Services & Learning	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 (a)	A3 (a)	B4 (a)	Dec. 2009
	Customer/ Citizen	CSL1 - Preventing a Major Child Protection failure	B1 (a)	B1 (a)	D1 (a)	Dec. 2009
	Partnership/ Contractual	Ensuring effective ongoing relationship between SCC and schools over ongoing issues relating to the transfer of support services to SSP to help prevent; failure of support services, damage to organisational reputation and/or poor service outcomes	C4 (a)	C4 (a)	E4 (g)	Dec. 2009
		Significant loss of confidence in the management of the service in the eyes of key partners in schools and other agencies	B3 (a)	C3 (a)	D3 (a)	Dec. 2009
	Professional/ Managerial	Loss of staff and/or performance during phase 2 of Directorate restructure	C3 (a)	C3 (a)	D4 (a)	Dec. 2009
		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	C3 (a)	C3 (a)	D4 (a)	Dec. 2009
		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 (a)	B3 (a)	C3 (a)	Dec. 2009

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Children's Services & Learning		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).	D2 (a)	C2 (a)	E2 (a)	Dec. 2009
		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 (a)	C2 (a)	C3 (a)	Dec. 2009
	Social	Inability to provide appropriate placements for very vulnerable children, particularly severely disturbed teenagers	C3 (a)	C3 (a)	C4 (a)	Dec. 2009
Directorate	Risk Category	Risk Description	Initial Risk Score	Current Risk Score	Target Risk Score	Next Review Date
Chief Executives	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)	E4 (g)	F4 (g)	Dec. 2009
	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)	C3 (a)	E2 (a)	Dec. 2009
		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)	D3 (a)	F3 (g)	Dec. 2009
	Economic	Failing to meet agreed income targets resulting in problems for the Council in delivering its overall budget	C3 (a)	C3 (a)	C4 (a)	Oct. 2009
	Partnership/ Contractual	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)	C3 (a)	E3 (a)	Dec. 2009
	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 and are able to influence future versions.	C2 (a)	C3 (a)	D3 (a)	Dec. 2009
		Failure to ensure the Council has robust Improvement Plans in place to deliver the accepted recommendations arising from the Corporate Assessment, Joint Area Review and other key external inspections and not implementing appropriate monitoring processes to enable the Council's Senior Management Team and Members to measure the progress made in delivering these plans.	C2 (a)	C3 (a)	D3 (a)	Oct. 2009

Chief Executives	Not having the capacity to manage corporate policy and performance improvement across the organisation including failing to deliver the agreed 2009/10 Scrutiny Inquiry Programme due to a lack of resources.	D3 (a)	D3 (a)	D4 (a)	Dec. 2009
	The City Council and Key Delivery Partners fail to appropriately implement the significant changes set out in the Local Government and Public Involvement in Health Act, CSR2007, Sub Regional Review of Economic Development and Regeneration in the most cost effective and efficient way for the benefit of local residents.	C3 (a)	C3 (a)	D2 (a)	Dec. 2009
Professional/Managerial	Failure to reach Economic Development targets due to a lack of funding, staff and adequate project management	C3 (a)	C3 (a)	D3 (a)	Dec. 2009

RISK MATRIX	LIKELIHOOD	Very High	A						
		High	B						
		Significant	C						
		Low	D						
		Very Low	E						
		Almost impossible	F						
RISK RATING MATRIX			5	4	3	2	1		
			Negligible	Marginal	Significant	Critical	Catastrophic		
			IMPACT						