

Summary - Directorate Risk Registers

Position as at 14th September 2012

Directorate	Description of Risk	Current Risk Score	Likelihood	Impact	Comments	
RED RATED DIRECTORATE RISKS						
1	Childrens Services & Learning	Failure to recruit and retain a full and competent workforce in Protection and Court services	A3	Very High	Significant	Management Action plan in place
2		Failure to deliver demand-led services within overall budgets	B2	High	Critical	Management Action plan in place
3		Inability to respond effectively to child protection demands	B3	High	Significant	Management Action plan in place
4	Environment and Economy (Environment)	Priority services are affected by industrial action putting residents at risk	B3	High	Significant	Management Action plan in place but to be updated
5	Environment and Economy (Economic Development)	Failure to progress viable development schemes	B3	High	Significant	Management Action plan in place but to be updated
6		Failure to deliver the agreed efficiency programme resulting in adverse consequences on the council's budget	B3	High	Significant	Management Action plan in place but to be updated
7	Corporate Services	Delivery of the Southampton Transitional Employment Programme ("STEP")	B3	High	Significant	New risk - Action plan being developed
8	Health & Adult Social Care	Capacity to respond to the demand for complex care services which are continuing to rise due to demographic and economic changes	C2	Significant	Critical	Management Action plan in place
9	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	Management Action plan in place
10		Not ensuring rigorous management of the health and safety of staff and users of council services	C2	Significant	Critical	Management Action plan in place
11	Environment and Economy (Economic Development)	Objections to consents and orders delaying or failing projects	C2	Significant	Critical	Management Action plan in place but to be updated
12		Failure to secure landowner / leaseholder consent	C2	Significant	Critical	Management Action plan in place but to be updated
AMBER RATED DIRECTORATE RISKS						
13	Health & Adult Social Care	Decision making nationally that intensifies and accelerates the need to change direction with diminishing resources to manage the change	C3	Significant	Significant	Management Action plan in place
14		Workforce skills or capacity do not meet the needs of statutory service delivery, response to demand and required changes due to local and national policy	C3	Significant	Significant	Management Action plan in place
15		Working with a limited and often unstable market which can lead to failure of provision due to poor quality, safeguarding issues, business closure or providers not meeting their contractual obligations	C3	Significant	Significant	Management Action plan in place

16		Rising cost of specialist out of area placements for certain care groups due to lack of provision within the city	C3	Significant	Significant	Management Action plan in place
17	Childrens Services & Learning	Damage to leadership role of SCC in services to children and young people as a consequence of changes in government policy	C3	Significant	Significant	Management Action plan in place
18	Environment and Economy (Environment)	The level of infrastructure funding secured by SCC is insufficient to meet all of our aspirations.	C3	Significant	Significant	Management Action plan in place but to be updated
19		Adverse impact of environmental conditions (ie. weather) on highway infrastructure.	C3	Significant	Significant	Management Action plan in place but to be updated
20		Reduced capacity to deliver services and priorities with reduced staff & financial resources	C3	Significant	Significant	Management Action plan in place but to be updated
21		The Decent Homes Transformation Programme will not succeed without effective Trade Union consultation and engagement and empowerment of staff.	C3	Significant	Significant	Management Action plan in place but to be updated
22		Ability to respond appropriately to changes to the legislative and regulatory framework, including the de-regulation agenda.	C3	Significant	Significant	Management Action plan in place but to be updated
23	Environment and Economy (Economic Development)	Failure to secure relevant grant funding opportunities due to the reduction of external funding opportunities and government grants.	C3	Significant	Significant	Management Action plan in place but to be updated
24		Reduced capacity / skills shortages following organisational changes / reconfiguration	C3	Significant	Significant	Management Action plan in place but to be updated
25		Significant changes in national policy / legislation affecting current services.	C3	Significant	Significant	Management Action plan in place but to be updated
26		Ability to respond appropriately to changes to the legislative and regulatory framework, including the de-regulation agenda.	C3	Significant	Significant	Management Action plan in place but to be updated
27		Failure to secure external funding for major projects or to support community groups / activities.	C3	Significant	Significant	Management Action plan in place but to be updated
28		Failure to secure grant funding opportunities.	C3	Significant	Significant	Management Action plan in place but to be updated
29		Eastpoint demolition.	C3	Significant	Significant	Management Action plan in place but to be updated
30		Deliver 'young offenders' programme of work placements/pre-employment training.	C3	Significant	Significant	Management Action plan in place but to be updated
31	Corporate Services	There is insufficient capacity to deliver both the directorate key priorities in addition to responding to increasing demand for advice / support from other directorates in this period of significant change	C3	Significant	Significant	Management Action plan in place but to be updated
32	Childrens Services & Learning	Business continuity arrangements fail to address a major disruption to service.	D2	Low	Critical	Management Action plan in place
33	Environment and Economy (Economic Development)	Failure to retain relevant grant funding e.g. SNAC / NCIP.	D2	Low	Critical	Management Action plan in place but to be updated
34		Failure to achieve various pre-conditions attached to development / legal agreements.	D2	Low	Critical	Management Action plan in place but to be updated
35	Environment and Economy (Environment)	Failure to secure external funding for major projects or to support community groups / activities.	D3	Low	Significant	Management Action plan in place but to be updated

36		Failure to maximise the efficiency and effectiveness of the supply chain, and internal and external partnerships, will lead to the collapse of key Transformational projects.	D3	Low	Significant	Management Action plan in place but to be updated
37		Staff of residents are put at risk due to a major incident or event or failure in health and safety practices resulting in serious injury or death.	D3	Low	Significant	Management Action plan in place but to be updated
38	Corporate Services	The required / expected outcomes and savings from the Partnerships are not delivered for 2012-13.	D3	Low	Significant	Management Action plan in place
39		Preparedness and potential adverse financial impact of the localisation of Council Tax	D3	Low	Significant	Action plan to be developed
40	Health & Adult Social Care	Failure to maintain a robust information governance culture leads to inability to meet statutory and legislative obligations.	D3	Low	Significant	Management Action plan in place
41	Health & Adult Social Care	Incident or prolonged disruption affecting normal service delivery.	D3	Low	Significant	Management Action plan in place
42	Environment and Economy (Economic Development)	Risk of challenge through OJEU process.	D3	Low	Significant	Management Action plan in place but to be updated
43		Failure to deliver commitments or achieve agreed performance or savings targets due to industrial relations issues.	D3	Low	Significant	Management Action plan in place but to be updated
44		Partnership opportunities and benefits not being fully realised with Private Sector companies, other departments and/or voluntary organisations.	D3	Low	Significant	Management Action plan in place but to be updated
45		Failure to achieve high level of design quality with reduced resources.	D4	Low	Marginal	Management Action plan in place but to be updated
46		Failure to deliver commitments, achieve performance targets or demonstrate performance due to insufficient resources.	D4	Low	Marginal	Management Action plan in place but to be updated
GREEN RATED DIRECTORATE RISKS						
None						
DIRECTORATE RISKS STILL TO BE SCORED						
47	Environment and Economy (Environment)	Failure to satisfy our residents and stakeholders aspirations for future service delivery/standards across the city.				Not scored - Action plan to be updated

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.