

Strategic Risk Register for 22 November 2011  
 Last Review Date - 22/09/2011 Next Review Date - 06/09/2011

Printed:22 November 2011

Key Priority/ Objective	Council Plan Ref	Action/controls already in place	Required Action/controls	Responsibility for Action	Responsible Officer	Due/Target Date	Update of Required Management Action Controls	Status	Critical Success Factors and KPI's	Date last update	Date of next review	Risk Status
<b>Risk Number : 001 Risk Owner : Dawn Baxendale Portfolio: Leaders Risk Category: Political</b> <b>Risk Description: The impact of national policies/trends on key service priorities or objectives is not identified or assessed sufficiently early</b> <b>Initial Impact:Significant Initial Likelihood:Low Initial Score:D3</b> <b>Current Impact:Significant Current Likelihood:Low Current Score:D3</b> <b>Target Impact:Significant Target Likelihood:Very Low Target Score:E3</b>												
Change programme - the changing national environment in which we work		Horizon scanning, Strategic Planning meetings of the Management Board once in six weeks, Forward Plans for Cabinet and Management Board, Directorate leads to consider specific issues	Consideration at Quarterly Business Reviews	Dawn Baxendale	Dawn Baxendale	31-Mar-2012	Quarterly Business Reviews, each focussing on key performance issues within a different directorate, have been held in July, September and October. A further Quarterly Business Reviews is scheduled for December.	G		22/11/2011	31/1/2012	Open
			Early discussions with the Leadership Group for policies and trends which may have council wide impact	Dawn Baxendale	Dawn Baxendale	31-Mar-2012	Monthly meetings of the Leadership have been taking place at which discussions have taken place on key policies and trends.	G		22/11/2011	31/1/2012	Open
<b>Risk Number : 002 Risk Owner : Dawn Baxendale Portfolio: Leaders Risk Category: Competitive</b> <b>Risk Description: The efficiency programme fails to deliver the required or expected budget savings</b> <b>Initial Impact:Significant Initial Likelihood:High Initial Score:B3</b> <b>Current Impact:Significant Current Likelihood:High Current Score:B3</b> <b>Target Impact:Significant Target Likelihood:Low Target Score:D3</b>												
Efficient use of resources		Robust programme governance, roles and accountabilities established. PM Connect methodology used to monitor and control projects	Adequate project management and programme support arrangements in place to ensure delivery	Joy Wilmot-Palmer	Joy Wilmot-Palmer	31-Mar-2012	Programme approved at the Efficiency Board, prioritised and set up within PM Connect. Documentation adapted in PM Connect to enable programmes to be monitored in a consistent and robust way. Reduced Project Management capacity and some slippage with seconded staff leaving.	A		9/11/2011	6/12/2011	Open
			Appropriate staff, management and Trade Union engagement procedures established for all projects	Joy Wilmot-Palmer	Joy Wilmot-Palmer	31-Mar-2012	Staff and management engaged through a variety of mechanisms including workshops, questionnaires and interviews. Corporate Trade Union consultation approach established but limited engagement with programme due to on-going industrial relations dispute.	A		9/11/2011	6/12/2011	Open
			Consistent and timely review / change management approach implemented across the Council	Joy Wilmot-Palmer	Joy Wilmot-Palmer	31-Mar-2012	Standard review approach developed but not yet rolled out. Corporate Change Management Programme and Task Force currently being established.	A		9/11/2011	6/12/2011	Open
			Contingency plans in place for all service areas	Joy Wilmot-Palmer	Joy Wilmot-Palmer	31-Mar-2012	Formal contingency plans developed. However the expectation that all efficiency savings built into the current year's budget will be achieved is consistently reinforced through regular financial and programme monitoring arrangements.	A		9/11/2011	6/12/2011	Open

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Risk Number : 003 Risk Owner : Mark Heath Portfolio: Leaders Risk Category: Political Risk Description: The Council is unable to react sufficiently quickly to changes in political direction Initial Impact:Significant Initial Likelihood:Significant Initial Score:C3 Current Impact:Significant Current Likelihood:Significant Current Score:C3 Target Impact:Significant Target Likelihood:Significant Target Score:C3												
Continuous improvement		Regular meetings of Group Leaders with the Chief Executive and the Monitoring Officer. Protocols and procedures in place regarding the actions required in the event of a change of political control. Cross party member briefings / involvement in all key or major decisions. Effective Overview and Scrutiny arrangements are in place with powers to review or scrutinise decisions made, or other action taken, in connection with the discharge of any functions which are the responsibility of the Executive, including the power to recommend that a relevant decision be reconsidered by the person who made it	Current activity is considered to be appropriate and robust	Mark Heath	Mark Heath	31-Mar-2012	Group Leaders meetings continue and the Constitutional arrangements of the Council continue to be reviewed on an annual basis by the Monitoring Officer. The outcome of the review is reported and discussed with the Standards and Governance Committee and is then considered by Full Council at the AGM. Effective overview and scrutiny arrangements continue to be in place and are a fundamental aspect of the overall constitutional settlement of the Council. The relevant protocols and procedures have been updated and the Monitoring Officer is satisfied that they are sufficiently robust and in a sufficient state of preparedness to deal with any change in political direction so that officers are given clear and unequivocal advice about what they should do and how they should do it. These matters will continue to be kept under review, of course, and will be further reviewed leading up to May 2012.	G			6/12/2011	Closed

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Risk Number : 004 Risk Owner : Mark Heath Portfolio: Leaders Risk Category: Professional/Managerial Risk Description: Workforce, industrial relations and skills retention issues have an adverse impact on service delivery Initial Impact:Significant Initial Likelihood:High Initial Score:B3 Current Impact:Significant Current Likelihood:High Current Score:B3 Target Impact:Significant Target Likelihood:Low Target Score:D3												
Reshaping the Council for the future			Develop and communicate Organisational Development Strategy	Richard Ivory	Richard Ivory	31-Dec-2011	The 'Head of Organisational Development and IT' left the authority on 14th August 2011. The function has now transferred to the Head of Legal, HR and Democratic Services. There have been other significant staff changes within HR Client which means that the team is very short on capacity at a senior level. An interim Head of HR started on 17th October and these three actions are placed at the top of the priority list for action. Progress is being made but it will not be possible to have a revised OD Strategy in place by 31st December, Spring 2012 being more realistic. Other target dates remain.	G	OD Strategy developed, approved and published by 31/12/2011	9/11/2011	6/12/2011	Open
			Progress against specified actions in new OD Strategy, specifically in respect of: Effective Communications; Skills Analysis; Training and Development; and Succession Planning.	Richard Ivory	Richard Ivory	31-Jul-2012	As above	G	Progress against OD Strategy Action Plan on target	9/11/2011	6/12/2011	Open
			Work towards retaining IIP accreditation	Richard Ivory	Richard Ivory	31-Jul-2012	As above	G	IIP accreditation retained OR deliberate and reasoned decision taken not to seek retention.	31/8/2011	6/12/2011	Open
Risk Number : 005 Risk Owner : Mark Heath Portfolio: Leaders Risk Category: Professional/Managerial Risk Description: There is insufficient capacity to manage or maintain the capacity to change Initial Impact:Significant Initial Likelihood:Significant Initial Score:C3 Current Impact:Significant Current Likelihood:Significant Current Score:C3 Target Impact:Significant Target Likelihood:Low Target Score:D3												
Reshaping the Council for the future		Council-wide organisational restructure commenced to transform the Council into an effective, customer-led organisation whilst reducing costs.;	Continuation of restructure to all tiers of the organisation	Richard Ivory	Richard Ivory	31-Mar-2012	On target	G	Restructures and all associated actions substantially complete by due date	30/9/2011	6/12/2011	Open
			Development of Organisational Development Strategy and implementation of Action Plan, particularly in respect of: Developing Flexible Employment Models; Development of Succession Planning Framework; and Development of Leadership Programme	Richard Ivory	Richard Ivory	31-Dec-2011	As above	G	Progress against OD Strategy Action Plan on target	30/9/2011	6/12/2011	Open

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<b>Risk Number : 006 Risk Owner : Dawn Baxendale Portfolio: Leaders Risk Category: Economic</b> <b>Risk Description: Major infrastructure developments or economic development plans are adversely affected by economic, environmental or market conditions and /or are not delivered in accordance with stakeholder expectations.</b> <b>Initial Impact:Significant Initial Likelihood:Significant Initial Score:C3</b> <b>Current Impact:Significant Current Likelihood:Significant Current Score:C3</b> <b>Target Impact:Significant Target Likelihood:Low Target Score:D3</b>												
A better place to live and invest		Assist developer where possible to maximise scheme viability. Work closely with landowners and developers. Review opportunities to assist with funding. Explore all potential funding streams that can be aligned to facilitate development	Business Planning process considers PESTLE analysis and risks	Dawn Baxendale	Dawn Baxendale	31-Mar-2012	To be reaffirmed in the next cycle of integrated business planning	G		22/11/2011	31/1/2012	Open
			PM Connect and Capital Boards are in place	Dawn Baxendale	Dawn Baxendale	31-Mar-2012	PM Connect is established across the Council and Capital Boards are in place across all portfolios.	G		22/11/2011	31/1/2012	Open
<b>Risk Number : 007 Risk Owner : Mark Heath Portfolio: Leaders Risk Category: Professional/Managerial</b> <b>Risk Description: High priority projects do not deliver the required or expected outcome and/or are delayed or not within budget</b> <b>Initial Impact:Significant Initial Likelihood:Significant Initial Score:C3</b> <b>Current Impact:Significant Current Likelihood:Significant Current Score:C3</b> <b>Target Impact:Significant Target Likelihood:Low Target Score:D3</b>												
Efficient use of resources		<p>PM Connect project management process introduced in April 2010.</p> <p>PM Connect provides a consistent and transparent process with high priority and other projects registered on a SharePoint site where monthly status reports can be viewed.</p> <p>A high priority project is categorised as 'Gold' and requires a higher level of project planning and approval via the council's Gateway approval process.</p>	Develop SharePoint to require all Gateway project documents to be held and approved online via SharePoint. This will ensure that there is a clear audit trail to evidence that the document has the required level of approval appropriate to the project priority and risk level.	Andy Lowe	Rob Aldridge	31-Mar-2012	A piece of software called Sharepoint Designer has been acquired. A program has been written that will achieve the required action. The intention is to pilot the new arrangement within certain areas of the Council however this will be dependant on adequate IT support being available.	G	A reduction in the number of projects registered on SharePoint without the appropriate project documentation. Baseline figures to be provided by the Project Management Office	4/11/2011	6/12/2011	Open
			Introduce an escalation procedure to trigger the automatic escalation of Gold high priority projects to MBoD where the project has a Red RAG status or, for more than one consecutive month, an Amber RAG status.	Mark Heath	Mark Heath	30-Apr-2012	This is with the Director for consideration. The initiative will be discussed in the forthcoming paper to the Management Board of Directors.	G	Consideration of escalated Gold projects to be a standing item on the MBoD agenda.	4/11/2011	6/12/2011	Open
			To produce a report for the MBoD seeking to ensure that (1) Project managers are adequately equipped to manage projects (2) That project sponsors are familiar with and are able to perform the role successfully (3) That project, programme and capital boards are able to ensure that projects are being adequately managed from a cost, timescale and quality perspective. This will include reviewing the roles of Capital and Programme Board, (4) To ensure that escalation processes are in place to deal promptly and effectively with any problems.	Andy Lowe	Rob Aldridge	1-Feb-2012	Discussions have taken place with a number of Project Managers and Project Sponsors to determine the effectiveness of PM connect and to identify the strengths and weaknesses of Project Management within the authority. A number of issues have been identified and these will be incorporated in the report to the Management Board of Directors.	G	That there is a percentage increase year on year on the number of projects that are: a) Introduced within the initial budget; b) Introduced within the original timescale; c) That the project sponsor determines that the outcomes are at least equal to those originally envisaged.	4/11/2011	6/12/2011	Open

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<b>Risk Number : 008 Risk Owner : Frances Martin Portfolio: Environment &amp; Transport Risk Category: Professional/Managerial</b> <b>Risk Description: Major incident or service delivery failure that significantly impairs or prevents the Council's ability to deliver key services and/or statutory functions</b> <b>Initial Impact:Significant Initial Likelihood:Low Initial Score:D3</b> <b>Current Impact:Significant Current Likelihood:Low Current Score:D3</b> <b>Target Impact:Significant Target Likelihood:Low Target Score:D3</b>												
Customer Delivery		Range of emergency response plans in place to address identified issues and/or respond to legal or statutory requirement i.e. SCC Major Incident and Business Continuity Response Plans, Flu Pandemic Plan, Flood Plan, Oil and Chemical Pollution Plan, Soton Safe 'z berth' plan etc;  Directorate and Divisional Business Plans in place;  IT Disaster Recovery Plan in place and tested;  Emergency response plans are tested on a periodic basis with 'testing' targeting on high risk areas;  Cross service and interagency emergency response teams in place and tested both in exercise and to live incidents.	BCP corporate ownership and application at senior manager level lacking in consistency. Highlight within BCP review process	Jon Dyer-Slade	Jon Dyer-Slade	31-Dec-2011	Raised at Directorate Management Team. Currently reviewing with completion date end of QTR 3.	G	Commitment in the support of the Emergency Response Team when necessary	31/10/2011	6/12/2011	Open
			Bi-annual review of emergency response plans	Jon Dyer-Slade	Jon Dyer-Slade	31-Dec-2011	Raised at Directorate Management Team. Currently reviewing with completion date end of QTR 3.	G	Timely and effective response to civil emergencies and internal business disruption as they arise;  Commitment in support of the the Emergency Response Team when necessary.	31/10/2011	6/12/2011	Open
			Ongoing Capita and client assurance in respect of the IT Disaster Recovery Plan	Andy Lowe	Kevin Foley	31-Mar-2012	Testing of the IT Disaster Recovery Plan is undertaken annually with the next exercise scheduled for Q4 in 2011-12. The annual exercise is to ensure that nominated key systems are able to be restored. A random selection of key systems are selected for each exercise.	G		22/11/2011	6/12/2011	Open
			Sufficient staffing and focus to ensure corporate obligations. To be highlighted within corporate restructure Emergency Response Team review	Jon Dyer-Slade	Jon Dyer-Slade	31-Jul-2011	Safeguarded in the 2012/13 budget.	G		31/10/2011	6/12/2011	Open
			Training and exercise programme re business continuity plans (as service area testing of BCP's not evident in majority of cases)	Jon Dyer-Slade	Jon Dyer-Slade	31-Jan-2012	Foxwater 12 planned for January 2012; this will highlight importance of Emergency Planning and Business Continuity Planning.	G	Consistency of nomination and attendance	31/10/2011	6/12/2011	Open
<b>Risk Number : 009 Risk Owner : Mark Heath Portfolio: Leaders Risk Category: Partnership/Contractual</b> <b>Risk Description: Key suppliers to services to the Council fail to deliver their contractual obligations</b> <b>Initial Impact:Significant Initial Likelihood:Significant Initial Score:C3</b> <b>Current Impact:Significant Current Likelihood:Significant Current Score:C3</b> <b>Target Impact:Significant Target Likelihood:Low Target Score:D3</b>												
Continuous improvement		Contract Procedure Rules;  Corporate Procurement Strategy 2009-2012	Appoint Senior Manager - Contracts	John Spiers	John Spiers	31-Dec-2011	Job description and person specification complete. Part of current consultation process.	G	Position successfully recruited to and postholder delivering to job/person specification.	28/10/2011	6/12/2011	Open
			Review contract management processes	John Spiers	John Spiers	1-Mar-2012	Required action to be undertaken by the Senior Manager - Contracts (when in post)	GY		28/10/2011	6/12/2011	Open
			Supplier Relationship Management process to be implemented by Directorates	John Spiers	John Spiers	31-Mar-2012	SRM process in place with 20 key suppliers and regular updates received from Directorates.	G	Key suppliers meet their contractual obligations	28/10/2011	6/12/2011	Open

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Risk Number : 010 Risk Owner : Mark Heath Portfolio: Leaders Risk Category: Legislative Risk Description: Governance arrangements in respect of the management of health and safety will not enable the provision of an appropriate level of assurance to officers and members that the health and safety regime is robust Initial Impact:Significant Initial Likelihood:Significant Initial Score:C3 Current Impact:Significant Current Likelihood:Significant Current Score:C3 Target Impact:Significant Target Likelihood:Low Target Score:D3												
Continuous improvement		Health and Safety Board; Health and Safety Steering Group; Health and Safety Policy; Safe Working Procedures and other guidance on Intranet; Training Programme.	Fire Risk Assessments on priority buildings	John Spiers	John Spiers	31-Oct-2011	FRA's conducted however this will then need lead to works programmes, where required, and completion of remedial works.	G	Remedial works completed on priority buildings.	28/10/2011	6/12/2011	Open
			Governance arrangements for health and safety accountabilities to be through a Health and Safety Management Board comprising the Chief Executive, Directors and Capita. Board to meet on a quarterly basis.	John Spiers	John Spiers	30-Sep-2011	Health and Safety Board and Steering Group in place.	G		28/10/2011	6/12/2011	Open
			Guidance which would include Property Handbook, Managers Handbook, Bulletins, Updated self-audit tool	John Spiers	John Spiers	31-Mar-2012	Self audits to be completed by all services.	G	Self Audits are completed by all services and high levels of health and safety understanding are demonstrated.	28/10/2011	6/12/2011	Open
			Health and Safety Policy and arrangements to be updated and signed by Chief Executive, Leader of the Council and Directors	John Spiers	John Spiers	1-Nov-2011	Chief Executive and Leader of Council sign Policy Document.	A	Health and Safety is seen as a priority of the organisation with a clear lead coming from the Management Board of Directors.	28/10/2011	6/12/2011	Open
			Implementation of Info Exchange Property Management system	John Spiers	John Spiers	31-Mar-2012	Start date 1st December 2011	G	Compliant buildings	28/10/2011	6/12/2011	Open
			Three year cycle audit programme	John Spiers	John Spiers	31-Mar-2012	Audit programme to commence on 1st December 2011	G	Proof of compliance	28/10/2011	6/12/2011	Open
			Training schedule to be reviewed with mandatory courses	John Spiers	John Spiers	31-Mar-2012	To be developed	G	High levels of course attendance	28/10/2011	6/12/2011	Open