

Summary - Directorate Risk Registers - September 2010

	Directorate	Risk Description	Risk Score (RAG)	Likelihood	Impact
1	Children's Services & Learning	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	Very High	Significant
2	Neighbourhoods	Failure to satisfy our residents and tenants aspirations for future service delivery / standards across the city.	A3	Very High	Significant
3	Environment	The deteriorating financial situation and current investment levels result in an inability to maintain key infrastructure within the city, to a minimum statutory standards, (including the condition and SAFETY of the road and footway infrastructure and services).	B2	High	Critical
4	Environment	Risk that government funding may be cut more severely than anticipated and further unexpected or unplanned financial impact on services in 2011/12 and beyond, due to the overall local and national economic situation	B2	High	Critical
5	Neighbourhoods	Failure to secure funding due to the reduction of external funding opportunities and government grants.	B2	High	Critical
6	Children's Services & Learning	Failure to secure intended outcomes from key strategic products and activities (e.g. OfSTED CAA Grade, Budget Savings targets etc.), through management capacity being overwhelmed by competing strategic priorities within the Council / Directorate.	B3	High	Significant
7	Neighbourhoods	Partnership opportunities and benefits not being fully realised with Private sector companies and/or voluntary organisations.	B3	High	Significant
8	Neighbourhoods	Consequences of implementing agreed saving targets and other efficiencies due to industrial action and poor employee relations having impact on service delivery.	B3	High	Significant
9	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).	C2	Significant	Critical
10	Children's Services & Learning	Managing the capacity of current infrastructure to cope with the surge of Primary school places - e.g. another 400 reception places needed within 5 years, and the impact of this on other council services.	C2	Significant	Critical
11	Environment	Service disruption and loss of productivity due to service restructures, new partnership organisation and office relocations (e.g. Highways Service Partnership, Accommodation Strategy Action Plan and City Depot projects)	C2	Significant	Critical
12	Health & Adult Social Care	That the transformation of Social Care services through the Putting People First programme fails to realise the required fundamental change in how Adult Social Care within the City is commissioned, provided and delivered.	C2	Significant	Critical

13	Chief Executives	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	Significant	Significant
14	Chief Executives	Failing to gain support for the activities which enhance the council's reputation and increase satisfaction levels for the council as a whole, particularly at a time of highly challenging public finances	C3	Significant	Significant
15	Children's Services & Learning	A major Child Protection failure	C3	Significant	Significant
16	Children's Services & Learning	Significant loss of confidence in the management of the service in the eyes of key partners in schools and other agencies	C3	Significant	Significant
17	Children's Services & Learning	Loss of staff and/or performance during transition and implementation of 2010 Directorate restructure leading to loss of key expertise or decline in performance in some service areas.	C3	Significant	Significant
18	Children's Services & Learning	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	Significant	Significant
19	Children's Services & Learning	It is proving both difficult and costly to provide appropriate provision for rising numbers of children and young people with complex needs, particularly in relation to challenging behaviour among some older young people.	C3	Significant	Significant
20	Environment	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	Significant	Significant
21	Environment	Ineffective communications would impact on the Council's reputation resulting in poor customer care and perception of value for money services	C3	Significant	Significant
22	Environment	Lack of integration between Directorate and Corporate planning of resources could result in disruption to Directorate Business Plans and ability to deliver on priorities (need to adequately plan staff and finance resources to deliver on Corporate Strategic requirements).	C3	Significant	Significant
23	Environment	Failure of partnerships to deliver the service required - resulting in both financial and reputational risks	C3	Significant	Significant
24	Neighbourhoods	Failure to deliver commitments, achieve performance targets or demonstrate performance due to insufficient resources.	C3	Significant	Significant
25	Neighbourhoods	Agreed saving targets and other efficiencies not being realised.	C3	Significant	Significant
26	Neighbourhoods	A major incident or event occurs that significantly impairs the Council's / Directorate's ability to function or provide a service to customers.	C3	Significant	Significant
27	Resources	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 objectives	C3	Significant	Significant

28	Resources	The joint business planning approach with the PCT is ineffective resulting in a lack of support for the Joint Commissioning Board and Director	C3	Significant	Significant
29	Children's Services & Learning	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	Significant	Marginal
30	Neighbourhoods	Failure to meet our critical health and safety obligations to our staff, customers and residents of the city.	D1	Low	Catastrophic
31	Neighbourhoods	Partnership opportunities and benefits not being fully realised with Capita and internal departments.	D2	Low	Critical
32	Neighbourhoods	Partnership opportunities and benefits not being fully realised with cross organisational partnership working	D2	Low	Critical
33	Resources	Arrangements are insufficiently robust to identify/reduce the risk of fraud in the light of the current economic climate	D2	Low	Critical
34	Environment	Risk to effective delivery of the Highways and Transport Capital Programme in the run up to the delivery of the Highways Service Partnership (including failure of the HSP to deliver on time)	D3	Low	Significant
35	Health & Adult Social Care	Not following key information management procedures for personal data or not using secure forms of data sharing and transmission leads to a breach in security standards.	D3	Low	Significant
36	Health & Adult Social Care	Changes to Independent Living Fund rules will result in cost pressures to the Council for clients who are funded and are assessed with significant / critical needs.	D3	Low	Significant
37	Neighbourhoods	Failure to engage sufficiently with our residents and communities.	D3	Low	Significant
38	Health & Adult Social Care	A major health epidemic or pandemic necessitates a change in the way that services are delivered so that statutory duties can be maintained.	D4	Low	Marginal
39	Health & Adult Social Care	Government Initiatives such as Valuing People and Free Personal Care if implemented, may lead to inadequate provision of financial support to purchase and provide adequate services.	D5	Low	Negligible
40	Environment	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.	E3	Very Low	Significant
41	Resources	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 objectives	E4	Very Low	Marginal