

Q2 2007/8 STRATEGIC RISK REGISTER
Sept 07

Strategic Risk Definition - Risks affecting the medium to long term Ambitions and Priorities of the Council
Operational Risk Definition - Risks encountered in the course of the day to day running of services

ID	DESCRIPTION of RISK	CONSEQUENCES	LIKELIHOOD	IMPACT			RISK SCORE	RISK LEVEL	MITIGATION STRATEGY	MITIGATION OWNER	ACTION BY DATE	RISK OWNER	AMBITION/PRIORITY LINK
				Financial	Service Delivery	Reputation							
S1	Decent Homes												
	Failure to achieve the Decent Homes standard by 2010 due to inadequate allocation of Government funds	Tenants homes do not meet government standard. Damage to Council's reputation	3				0		SHL Monitoring Arrangements in place	SHL Monitoring Officer	Ongoing	Strategic Director Celia Twomey	3 A & B
	Failure by SHL to manage and administer contracts to deliver the required standard	Reduced tenant confidence in SHL/SBC	3				0						
	Failure to comply with required Gas Inspection regime	Health and safety breach Damage to reputation of SBC Personal Liability for CE of SBC											
S2	Transforming Services Failure to deliver envisaged business benefits through the transforming services programme, notably customer service benefits and Medium Term Financial Strategy targets.	Increased revenue pressure for SBC. Impact on CPA status if we fail to deliver customer service and other performance Improvements.	3	3	3	3	9	Medium	Significant improvements to the way that we manage projects and produce business cases have been identified. A formal framework is envisaged which will be dealt with through the project on Developing Project and Programme Management. However, this project can not be taken forward until the vacant Corporate Business Manager post has been filled. An external secondment will be sought once ring fenced interviews for posts within the new SDU structure have been completed.	Head of E-GOV & Business Systems	Initiate by July 2007	Head of IT & E-Government & Business Systems	4 A, B & C
S3	Capital Programme Delays - Failure to deliver annual capital programme	Failure to Achieve Council's ambitions Reduced Member confidence	4	3	4	4	15	High	Increase Effectiveness of Corporate Capital Review Group monitoring. Comprehensive review of the overall programme underway. Report to September Executive.	Head of Finance	Mar. 2008	All Heads of Service	1A - 4C
	Balancing of Medium Term Strategy - Difficulty in resourcing capital ambitions	Failure to Achieve Council's ambitions Reduced Member confidence	4	4	4	4	16	V. High					
S4	Equality and Diversity Failure to embed equality and diversity as a priority: Encourage a fair and Inclusive Community Failure to meet Equality Standard. Failure to deliver and implement programme of Equality Impact Assessments	Failure to achieve target date for reaching Level 3 of the Equality Standard (March 2009)	3	2	3	4	9	Medium	Dedicated team identified to ensure that targets are met. Action Plan agreed by SMB August 2007 Review programme of impact assessments and delivery programme for achieving level 3 of the Equality Standard. Communication plan/awareness raising essential to success.	Jo Wilkinson - Head of PPP	Mar-08	Celia Twomey - Strategic Director	1C

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S5	Budget Gap Council does not align its income and its expenditure prior to its balances being exhausted	Significant cuts in services Staff reductions	3	5	5	5	15	High	The Budget Review Group and Leader's Service Priority Group to develop and approve proposals to reduce and ultimately eliminate the budget gap.	Head Of Finance	Dec-07	SMB and all Heads of Service	1A - 4C
S6	Lack of Customer Access to Services Failure to develop CRM to satisfactory level Failure of SHL/SBC to improve in customer service Failure to transfer more services to CSC BV157 Low customer take-up of on-line services Not enough resource to meet service levels including lack of opportunity to carryout training and performance development. Lack of back office commitment to provide front-line staff with information, training and support necessary to provide an appropriate service to the customer.	High escalation rates Poor Service levels/poor service delivery Value for money KPI service failure Poor service delivery	3 2 2 3 4 4	3 3 4 3 2 2	4 4 4 3 4 4	2 4 3 3 4 4	9 7 7 9 13 13	Medium Medium Medium Medium High High	* Detailed management and continuous monitoring of service Satyam transfer knowledge to IT staff Service Level Agreements/SHL improvement plan/Seervice Planning Transforming Services Programme Encourage customers to access on-line when they phone/visit the CSC. Publish Information. Resource self-service area to 'teach' customers new skills. Workforce Planning tool/CSC Budget Service Level Agreements/Support from SMB	Customer Services Manager Head of E-Gov SMB/Heads/Staff Head of E-Gov Head of E-Gov CSC Manager Heads of Service	Ongoing Ongoing Ongoing During 07 ongoing Ongoing Ongoing	Customer Services Manager CSC Manager CSC Manager Strategoc Director CT CSC Manager Strategoc Director CT	4A & 4C
S7	Town Centre Scheme does not commence	Failure to consolidate the role of Stevenage town centre as a major shopping and leisure centre serving a large catchment area	3	4	2	4	10	High	High levels of project management and continuous monitoring of scheme	Head of Planning and Regeneration	Ongoing	Head of Planning	1D, 2A, 2B
S8	Stevenage West Development does not proceed	Major setback to expansion of the town. Council does not contribute towards meeting the growth needs of the Eastern region	2	4	2	3	6	Medium	Detailed management and continuous monitoring of scheme Continue discussions with WSC to achieve Unilateral Undertaking which is fit for purpose	Head of Planning and Regeneration	Ongoing	Head of Planning and Regeneration	3 A & B
S9 Remove	Local Strategic Partnership Lack of commitment by key partners Changing policy agendas eg ODPM, HCC Remove as a Strategic Risk. Range of initiatives was in place to improve partnership work and effectiveness of LSP	The Council fails in its Community Leadership role / to deliver its vision	↓ 2	2	2	3	5	Medium					

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S10	Moving to CAA Council is not sufficiently prepared.	Reduced CPA score Council's reputation	2	2	2	3	5	Medium	Monitor consultation outcomes and advice from the AC on way forward Corporate team to lead and advise the organisation in liaison with SMB and the Audit Commission	Strategic Director (SC)/Head of Policy, Performance and Partnerships	Ongoing	All Heads of Service	1A - 4C
S11	ALMO Disaggregation of the ALMO results in diseconomies to the Council overall & puts pressure on increasing the Budget Gap see S6 above.	Increase in Budget Gap, pressure on Service Provision.	2				0		Detailed costings of disaggregation to be undertaken and actions to mitigate any unavoidable consequences to be planned. May require organisational changes to the residual Council.	SMB	Autumn 2006	Head of Finance	Ambitions 3 & 4 Priorities 1D 3B 4A & B & C
S12	Operational Risk Registers SDUs do not adequately record risks on the Operational Risk Register and/or do not have robust mitigation strategies.	* Unidentified risks could adversely affect the Councils ambitions and priorities. * Ineffective mitigation strategies could result in risks materialising	3	3	3	3	9	Medium	* Quarterly check of a sample of risks to identify adequacy of those identified and the associated mitigation strategies * Further 1:1 risk management training as required.	All Heads of Service/First Reports & Senior Corporate Admin. Officer (Project Manager).	Quarterly wef May 06	All Heads of Service/First Reports	1A-4C
S13	Business Continuity Services do not have adequate Business Continuity Plans in place in the event of a business continuity incident/failure.	* The Council does not meet its business continuity responsibilities under the CCA * Impact on CPA status * Statutory services are not delivered * Disruption to essential services leading to lack of customer care and adverse public and media perception of the Council	3	2	3	3	8	Medium	* Business continuity plans are in the process of being finalised for each essential service. * ICT split site proposal has been agreed and work is progressing to implement this. Note: Until this work is complete, SDUs need to ensure that they are happy with their current arrangements for business continuity * Raise the profile of business continuity and advise all officers of the Council's plans and procedures in this respect by carrying out Business Continuity Awareness Sessions BCP exercise to test plans	Senior Corporate Admin. Officer (Project Manager)	Aug 2007 Sept 2007 Nov-07	All Heads of Service/First Reports	4C
S14 Remove	Community Strategy Ambitious timetable for producing a revised strategy Remove from Risk Register. Final Draft Community Strategy ready for sign off Publication on target for October	Lack of demonstrable positive benefits to Stevenage	2	2	2	2	4	Low					
S15	Community Safety Strategy Lack of commitment by key partners prevents successful implementation of strategy	Community safety targets not met	2	2	2	2	4	Low	1. Refocusing of Community Community Safety Partnership to ensure commitment of partners. 2. Detailed management and monitoring of year 3 and supporting theme group action plans combined with clear accountability lines. 3. Monitor effectiveness	Principal Community Development Manager	Mar-08	Head of Policy, Performance and Partnerships	1B

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				Financial	Service Delivery	Reputation		VH/H/M/L					
S16	Implementation Of Single Status Agreement Implications of the Council not meeting the Government deadline of the 1st April 2007	Equal Pay Claims	4	3	2	3	11	High	Implementation of the Single Status agreement	Workforce Planning, Pay & Rewards Manager	Project plan under review	Head Human Resources	4
		Management and Trade Union relationships will be adversely affected both locally and nationally	3	4	3	3	10	High	Maintain existing good relationships both locally and nationally with the Trade Unions through regular meetings	Workforce Planning, Pay & Rewards Manager	Ongoing	Head Human Resources	4
		Councils reputation may be damaged as a good employer.	2	2	4	4	7	Medium	Ensure that good communications continue to be maintained both internally and externally between trade unions, staff, and public	Workforce Planning, Pay & Rewards Manager	Ongoing	Head Human Resources	4
		Trade Union representatives may seek an additional financial settlement in the form of back pay to compensate their members for the late implementation of the Single Status Agreement.	4	2	2	2	10	High					
S17	Data Quality Non-compliance with required standards for data capture and reporting	1. Qualification of BVPIs 2. Data Quality assessment does not achieve required standard 3. Misleading management information	2	2	1	4	5	Low	1. Ensure high risk indicators included in Internal Audit Plan 2. Service Unit Managers to ensure complete audit trails maintained for all performance indicators	Policy Manager	Ongoing	Head of Performance Policy and Partnerships	4b/4c

KEY

 Changes made to register this quarter