

Q4 2007/8 STRATEGIC RISK REGISTER
Feb 08

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

	DESCRIPTION of RISK	CONSEQUENCES	LIKELIHOOD	IMPACT Financial	IMPACT Service Delivery	IMPACT Reputation	RISK SCORE *	RISK LEVEL VH/H/M/L	MITIGATION STRATEGY	MITIGATION OWNER	ACTION BY DATE	PROJECT LINK wef 1 April 08	RISK OWNER	AMBITION / PRIORITY LINK
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	5	5	5	15	High	SHL Monitoring Arrangements in place to ensure 2 star status is achieved by SHL. Provisional inspection date of February 2009. SHL related risk register to be developed.	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	5	5	4	15	High	SHL Monitoring Arrangements in place. Regular monthly finance and operational monitoring meetings between SBC and SHL to take place to enable the Council to review/scrutinise contract administration and performance against annual Decent Homes Targets.	SHL Monitoring Officer	Ongoing		Strategic Director Celia Twomey	
	Failure to comply with required Gas Inspection regime	Health and safety breach Damage to reputation of SBC Personal Liability for CE of SBC	3	5	3	5	12	High	The Council has approved SHL's Gas Safety Policy that endeavours to deliver 100% compliance. SBC Officers to monitor compliance through monthly reports and operational monitoring meetings with SHL. SHL shortly to go out to tender to appoint contractor to undertake gas safety checks	SHL Monitoring Officer	Ongoing		Strategic Director Celia Twomey	
S2	Capital Programme													
	Delays - Failure to deliver annual capital programme	Failure to Achieve Council's ambitions Reduced Member confidence	4	3	4	4	16	V. High	Increase Effectiveness of Corporate Capital Review Group monitoring. Comprehensive review of the overall programme completed and prioritisation introduced to meet available resources. Report to regular Executive meetings.	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						
S3	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	2	3	6	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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S4	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 have developed proposals which will eliminate the budget gap over the next 2 years.	Head Of Finance	Dec-07		SMB and all Heads of Service	1A - 4C
S5	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 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 Cost of conventional methods of accessing services is higher. Opportunities to access PDG reduced. 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 4 4 4	9 8 8 9 12 12	Medium Medium Medium Medium High High	* Detailed management and continuous monitoring of service New role in CSC to champion improved ICT and information management. Review CSC role in monitoring service delivery and impact of NI on unavoidable contact Deliver through the Move to Excellence programme Encourage customers to access on-line when they phone/visit the CSC. Publish Information. Resource self-service area to 'teach' customers new skills. Encourage services to foster increased take-up. Has been effective in development control. Changes to working practices have led to significant improvements in KPIs Reviewing training and communication mechanisms	Customer Services Manager Customer Services Manager Head of E-Gov/Customer Services Manager Head of E-Gov Head of E-Gov CSC Manager Heads of Service	Ongoing Ongoing Ongoing During 08 ongoing Ongoing Ongoing		Customer Services Manager CSC Manager Head of E-Gov Strategoc Director CT Head of E-Gov Head of E-Gov Strategoc Director CT	4A & 4C
S6	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	9	Medium	High levels of project management and continuous monitoring of scheme	Head of Planning and Regeneration	Ongoing		Head of Planning	1D, 2A, 2B
S7	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
S8	Moving to CAA Council is not sufficiently prepared.	Reduced CPA score Council's reputation	2	2	2	3	4	Low	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

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S9	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.	4	4	3	3	12	High	Review of SLA's to be jointly undertaken with SHL to ensure VFM is obtained for customers. Update historical costing and usage data included in SLAs to reflect up to date information. 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 2008		Head of Finance	Ambitions 3 & 4 Priorities 1D 3B 4A & B & C
S10	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 Service's targets. * Ineffective mitigation strategies could result in risks materialising or their consequences being more severe. * Adverse effect on Use of Resources score	3	3	3	3	9	Medium	* Operational risk registers to be aligned with the service planning process and reviewed quarterly by service Director. * Further risk management training to be provided to Heads of Service and First Reports	All Heads of Service/First Reports & Senior Corporate Admin. Officer.	April 08 March 08		Directors	1A-4C
S11	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	9	Medium	* Corporate Business Continuity Plan * ICT split site server 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 * Business continuity plans are complete for each essential service. * Raise the profile of business continuity and ensure all officers understand the Council's and their own service plans and procedures. * BCP desktop exercise to test plans	Senior Corporate Admin. Officer (SCAO) Head E-Gov SCAO and Heads of Service SCAO and Heads of Service SCAO	Dec 2007 2008 Mar 08 Apr 08		All Heads of Service/First Reports	4C
S12	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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S 13	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	12	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	9	Medium	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	6	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	8	Medium						
S 14	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	4	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 3. Respond to data quality report recommendations and implement improvement plan.	Policy Manager	Ongoing		Head of Performance Policy and Partnerships	4b/4c
S 15	Elections May 1st 2008 - Failure to run Local Election and/or Local and County By-Election in accordance with regulations and to the required timetable	1. Electoral Petition 2. Council's Reputation	2	3	2	4	6	Medium	1. Ensure that officers have a detailed knowledge of all relevant Legislation, Regulations and Procedures. 2. Ensure that comprehensive plans and procedure notes in place including contingency arrangements.	Constitutional Services Manager	Jan-May 2008		Chief Executive	1d/4c

KEY

 Changes made to register this quarter



Score change since last quarter

* Risk Score = Likelihood x Rounded Average Impact score