

Report of the Acting Corporate Director for Resources

**Strategic Risk Register (SRR) – Q2 2012/13 Update
& update to the Risk Management Framework**

1. REPORT PURPOSE

- 1.1 This is the Q2 2012/13 (as at October) update of the Council's SRR 2012/13 presenting the progress made in reducing the threat level for each strategic risk from their original position.
- 1.2 At its 27 July meeting Audit Committee selected two strategic risks for more detailed scrutiny; *SR26 - Failure to support Nottingham citizens and communities in minimising any negative impact of welfare changes* and *xSR27 - Failure of Workplace Parking Levy to raise sufficient income to meet NET Phase Two funding requirements*.
- 1.3 Approve the Risk Management Framework endorsed by Corporate Leadership Team (CLT) at its 6 November meeting, and endorse the Risk Management Action/Improvement Plan supporting the (RMF).

2. RECOMMENDATIONS

Audit Committee is recommended to:

- 2.1 Consider the strategic risks *SR26 - Failure to support Nottingham citizens and communities in minimising the negative impact of welfare changes* and *xSR27 - Failure of Workplace Parking Levy to raise sufficient income to meet NET Phase Two funding requirements* (see **Appendix 1** and **2**) for more detailed review following selection by Audit Committee at its 27 July meeting.
- 2.2 Consider and critically appraise the progress made on reducing the seriousness of the Council's strategic risks as reflected by their threat levels and Direction of Travel (DoT) for Q2 2012/13 (Table 1 and **Appendix 3**).
- 2.3 Note the results of the review of the SRR by CLT.
- 2.4 Consider and approve the RMF as previously presented at 6 January Audit Committee meeting available through the Committee Online electronic agenda and the addition to it of the attached Risk Management Improvement Action plan, **Appendix 6**.
- 2.5 Select a number of strategic risks from **Appendix 3** for specific scrutiny as part of the SRR Q3 2012/13 Update. Selection might be based on the time elapsed since the risk was last reviewed, changes in the risk's Threat Level (or DoT) or relevance to current local or national matters of interest or concern.

Audit Committee expressed an interest at its 2 March meeting in reviewing progress on *SR2 – Of the reputation of the city*. Reporting was deferred so a review of the risk could be undertaken and this has now been completed.

3. REASONS FOR CONSIDERATION

3.1 The Audit Committee's key risk management role is to provide assurance on the adequacy of the Council's Risk Management Framework and the associated control environment by reviewing the mechanisms for assessing and managing risk. Part of this responsibility is to ensure active risk management is undertaken by relevant managers. This report presents the latest CLT review of the strategic risks faced by the Council.

4. THREAT LEVEL REDUCTION PROGRESS

4.1 Progress in reducing the seriousness of our strategic risks is assessed by a combination of each risk's overall threat level and its Direction of Travel (DoT). This rounded assessment gives a clearer picture of progress in reducing the risk threat level. Table 1 lists the risks in the SRR and presents for each the most recent change to the overall Threat Level and DoT.

4.2 Overall progress continues in reducing the threat levels of the strategic risks we face with several risks in the SRR assessed by risk owners as improving, stable or at target. However, **10** risks are red rated reflecting a range of delivery pressures and challenges the Council has to respond to.

4.3 For the **18** strategic risks within the SRR:

- **Three** strategic risks are now at target, a further **two** strategic risks show an improved DoT and **one** strategic risk has been delegated from the SRR
- **Two** new red assessed strategic risks
 - *SR28 - Failure to ensure a financially sustainable adult social care system respond to significant increases in demand for care while protecting our most vulnerable citizens*
 - *SR29 - Failure to establish an effective Public Health function with adverse impact on the citizen wellbeing and a failure to deliver the authority's statutory responsibilities*
- **Two** existing strategic risks show a deteriorating position
 - *SR24 - Failure to ensure effective systems are in place to manage health and safety risks*
 - *SR26 - Failure to support Nottingham citizens and communities in minimising the negative impact of welfare changes*

4.4 **Table 1** shows the strategic risks ranked in order of Threat Level and DoT (highest to lowest Threat Level):

| TABLE 1: Risk Threat Level & DoT in rank order at Q2 2012/13 | | | |
|---|---|---------------------|--------------------|
| SR No. | Strategic Risk Description | Threat Level | DoT (Q1–Q2) |
| Red rated strategic risks | | | |
| 26 | Failure to support Nottingham citizens and communities in minimising the negative impact of welfare changes | 16 | ↑ |
| 19 | Failure to deliver Council Plan priorities | 16 | ↔ |
| 6 | Failure to safeguard vulnerable children | 15 | ↓ |
| 7 | a) Failure to reduce levels of crime and b) anti-social behaviour | 12 | N/A |
| 11 | Failure to address medium term financial pressures in a sustainable way | 12 | ↔ |
| 12a | Failure to provide the best educational outcome for children and young people | 12 | ↔ |
| 14 | Failure to deliver culture change | 12 | ↔ |
| 28 | Failure to ensure a financially sustainable ASC system to respond to significant increases in demand for care while protecting our most vulnerable citizens | 12 | N/A |
| 29 | Failure to establish an effective Public Health function with adverse impact on the citizen wellbeing and a failure to deliver the authority's statutory responsibilities | 12 | N/A |
| 3 | Failure to mitigate the impact of the economic climate on Nottingham City and its citizens | 12 | ↓ |
| Amber rated strategic risks | | | |
| 24 | Failure to ensure effective systems are in place to manage health and safety risks | 6 to 9 | ↑ |
| 8a | Failure to implement and embed effective information management structures, policies, procedures, processes | 9 | ↔ |
| 10 | Failure to maintain good standards of governance | 9 | ↔ |
| 1 | Failure to implement harmonised pay, grade & terms & conditions | 8 | ↔ |
| 5a | Failure to safeguard vulnerable adults | 8 At target | ↔ |

| TABLE 1: Risk Threat Level & DoT in rank order at Q2 2012/13 (continued) | | | |
|---|---|---------------------|--------------------|
| SR No. | Strategic Risk Description | Threat Level | DoT (Q1–Q2) |
| Amber rated strategic risks | | | |
| 16a | Failure of partners including the City Council to work effectively together | 8 At target | ↔ |
| 25 | Failure to deliver improved outcomes through the Commissioning Framework | 8 | ↔ |
| Green rated strategic risks | | | |
| 2a | Of the reputation of the City | 6 At target | N/A |

DoT key: ↓ Reducing Threat Level ↔ Stable Threat Level ↑ Increasing Threat Level

Appendix 3 identifies individual risk owners, detailed risk threat level assessments between January 2012 (Q3 2011/12) and October 2012 (Q2 2012/13) and the projected dates when target threat levels will be achieved.

4.5 Review of new, emerging and existing SRR risks

4.5.1 SR2 - Of the reputation of the City: This was represented on the SRR for more than three years. At the 2 March 2012 meeting, Audit Committee selected the risk for review as a deteriorating direction of travel had been reported reflecting budget pressures and the impact on the Council's workforce. The selection of the risk by Audit Committee for review, coupled with the time elapsed since the risk was reviewed by the service, prompted more fundamental consideration of the management of reputational risk.

Previously the risk was focussed on management of reputational consequential risks stemming from potential failure to deliver on business priorities (principally other strategic risks). These consequential reputational risks will now be managed by those responsible for delivery of priorities with support provided by Communications and Marketing. The focus for Communications and Marketing has moved to managing causal risks as they impact on the delivery of priorities/citizens, through working more widely in the city/region with the business sector, third sector, Chamber Of Commerce, neighbouring LAs, regional groups, influencing Government Departments/Government perception etc. This will encourage a more strategic approach to reputation management and also place the onus for identifying and managing reputational risks with those where such risks could materialise (with support from Communications & Marketing) encouraging a more proactive approach. CLT agreed that this updated risk should be added to the SRR as SR2a in place of SR2 which will be closed. The threat level for this updated risk has been assessed as 6 and at target.

4.5.2 SR7- Failure to reduce levels and the fear of crime and anti-social behaviour (ASB) was identified for review by the Corporate Director Communities in Q2 2011/12 in response to revised Council Plan priorities, new manifesto commitments and the emerging crime and disorder issues from the disturbances in the summer.

Following review, the risk has been to re-scope around a failure to meet manifesto targets for reducing levels of crime and ASB splitting the risk into two discrete parts within the Strategic Risk.

The risks *Failure to reduce levels of crime (SR7a)* and *anti-social behaviour (SR7b)* are currently assessed as 12 (3x4), the most significant constituent risks include:

- The appointment of an elected Police Commissioner potentially changing the focus of policing in the city;
- Loss of grant funding to the Police and Crime Commissioner impacting on the ability to address drivers of crime and ASB;
- The ongoing combination of drug misuse and alcohol as a driver of crime;
- That the current thematic approach to cutting levels of crime and ASB may not be sufficient to bring further improvements identified in the Nottingham Plan.

At its meeting on the 6 November CLT agreed that this updated risk should be added to the SRR as SR7a/b in place of SR7 which will be closed. Mitigations are generally assessed as Adequate, however, a number of the risks have high target threat levels reflecting issues around the controllability of some of the risks.

4.5.3 *SR24 - Failure to ensure effective systems are in place to manage health and safety risks:* Previously assessed as stable and at target for three consecutive quarters, this risk has deteriorated from 6 to 9 reflecting recent events. Significant improvements have been made in managing this risk, but events have highlighted a need for consideration of the risk at a departmental level and a need for further health and safety training at that level. Further monitoring of legally compliant risk assessments will also be undertaken.

4.5.4 *SR25 - Failure to deliver improved outcomes through the implementation and embedding of the Commissioning Framework within the directorate, the council and with partners* has had a stable amber rating for a number of quarters. Many elements of the original risk having been successfully mitigated through the delivery of the Commissioning Change Programme (CCP), leaving the main residual risk around the wider “embedding” of the commissioning framework. To tackle this residual risk element, a third phase of the CCP is now in the early stages of implementation, including development of a council-wide strategic review programme. The RMAP for this risk is being reviewed to reflect progress to date and the additional actions within this new programme of work. This review was due to be completed for the SRR Q2 Update, but will now be completed for Q3 reporting.

4.5.5 *SR26 - Failure to support Nottingham citizens and communities in minimising the negative impact of welfare changes* remains the Council’s most serious risk assessed as 16 with a deteriorating DoT. While modelling and consultation work continues, the emphasis for activity is shifted from policy development to preparing for implementation and shared communications.

Since the last quarter three constituent risks have been added to the RMAP following discussion with senior colleagues and Executive Councillors, two of which have high threat levels (15):

- *Failure to work effectively with social housing landlords to manage the impacts on citizens and landlords of the changes to HB under occupancy rules* – There is extensive mitigation activity including:

- Work with Registered Social Landlords (RSLs) to identify affected households;
- Identified affected households will be notified and direct contact made to a) gauge if households are able to plug the gap, and b) offer a range of advice options to support households;
- Use these findings to identify the scale of households likely to seek a move;
- Continue to raise awareness and promote early action to be ready for the change in April 2013, such as access to banking services, money management and budgeting advice etc;
- *Failure of the DWP (in conjunction with HMRC) to implement new IT system underpinning UC with potential for large scale non-payment of benefits – mitigation activity for this risk rests with DWP and HMRC. NCC has raised these risks with the minister responsible and sought reassurances and more information about how this risk is being managed. Regular contact with our local Job Centre Plus also provides an avenue to keep up to date with the latest information.*

The RMAP is included here as **Appendix 1** for review by Audit Committee.

4.5.6 *xSR-27 - Failure of Workplace Parking Levy to raise sufficient income to meet NET Phase Two funding requirements:* This risk entered the SRR at Q1 2011/12 focussed on the ability of WPL to raise revenue (on average £14m p.a. over the 25 year life span of the PFI) to meet the Council's contribution to the NET Phase Two, HUB and Link Buses projects. The scheme was introduced on 1st October 2011 and charging commenced in April 2012. There has been concern regarding the ability of WPL to meet funding requirements, however, these requirements are based on financial models for NET Phase Two which include a number of significant variables.

One of the most significant is the interest rate at which the City Council borrows the £100m payable to Tramlink when operations commence and a further £54m for land acquisitions and other development costs. The majority of the risk stemming from interest rate increases has been mitigated by borrowing £116m at a new 'certainty rate' offered by the Public Works Loan Board. This rate is considerably lower than the prevailing rate and has a beneficial impact on the overall financial model, substantially offsetting a reduction in the projected WPL income in Year 1 of the scheme.

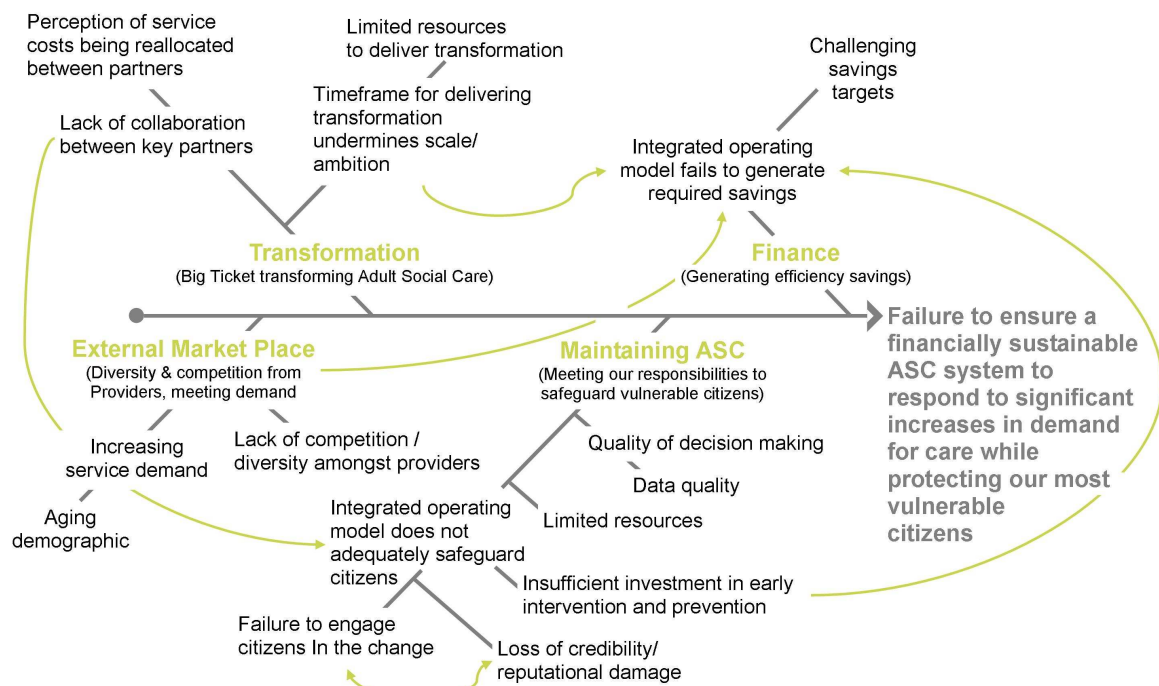
The WPL income projections will be continually updated to reflect the latest information available from the WPL team as the income collection is still in its infancy. In the event that over the 23 year life of the NET Phase 2 contract, insufficient WPL income is generated, decisions may be made in respect of the ongoing contributions to the Link Bus network and/or extending the WPL scheme beyond the life of the NET Phase 2 contract.

With the scheme live, the position in terms of the ability of WPL to meet funding requirements is now known. The risk has been at 9 with an improving direction of travel for three consecutive quarters. The only remaining red rated risk relates to displaced parking which doesn't directly impact on the headline risk and has mitigations in place which are assessed as adequate to manage the risk to target (6) (see **Appendix 2**). In light of the above, CLT agreed that the risk should be delegated to the Communities Departmental Risk Register for ongoing monitoring.

4.5.7 New risk - Failure to create an organisational environment that supports delivery of council priorities brings together two long standing strategic risks, SR14 - Failure to deliver culture change and SR19 - Failure to deliver Council Plan priorities providing a more coherent approach to the management of the risks and reflects management accountability. A draft RMAP was presented to CLT as part of the SRR Q1 Update. CLT asked that further work be undertaken to gain wider engagement in determining effective mitigation and control activity. An approach has been agreed and a series of meetings scheduled with lead officers. The outcome of this work will be presented and tested through briefings to Departmental Leadership Teams (or Directors Forum) in December with the finalised RMAP presented to CLT as part of the SRR Q3 Update in January 2013.

4.5.8 SR28 - Failure to ensure a financially sustainable adult social care system to respond to significant increases in demand for care while protecting our most vulnerable citizens: This risk aligns with the “Big Ticket” Adult Social Care programme. Running from December 2011 through to March 2014, the programme has three main objectives a) delivering short and long-term savings, b) ensuring a financially sustainable care system, and c) responding to national policy drivers around personalisation, greater citizen choice, and brings together all significant change activity across the area of adult social care.

Work began in Quarter 3 2011/12 to consider the risks to the delivery of the programme and has continued with key stakeholders who are now actively engaged in the identification and assessment of both risks and opportunities, these stakeholders include a senior colleague from Health and the portfolio holder for Housing, Adults and Community Sector (see RMAP included as **Appendix 4**).



The areas of highest risk (12) relate to:

- Engagement with/by Citizens and collaboration with health, partners and communities;
- The ability to deliver savings/efficiencies as a consequence of rising care costs or over concentration on delivery model.

Criteria have been identified for consideration of risks for escalation to the Strategic Risk Register. This risk meets a number including the potential for significant financial, legal, reputational and citizen wellbeing implications. At its 6 November meeting, CLT agreed that this risk should be added to the SRR as SR28.

4.5.9 SR29 - Failure to establish an effective Public Health function (promote/protect health, tackle health inequality, promote social justice and safer communities) with adverse impact on the citizen wellbeing and a failure to deliver the authority's statutory responsibilities under the 2012 Health and Social Care Act: The transfer of the public health function from PCTs to local government from April 2013 represents a significant extension to local government responsibilities.

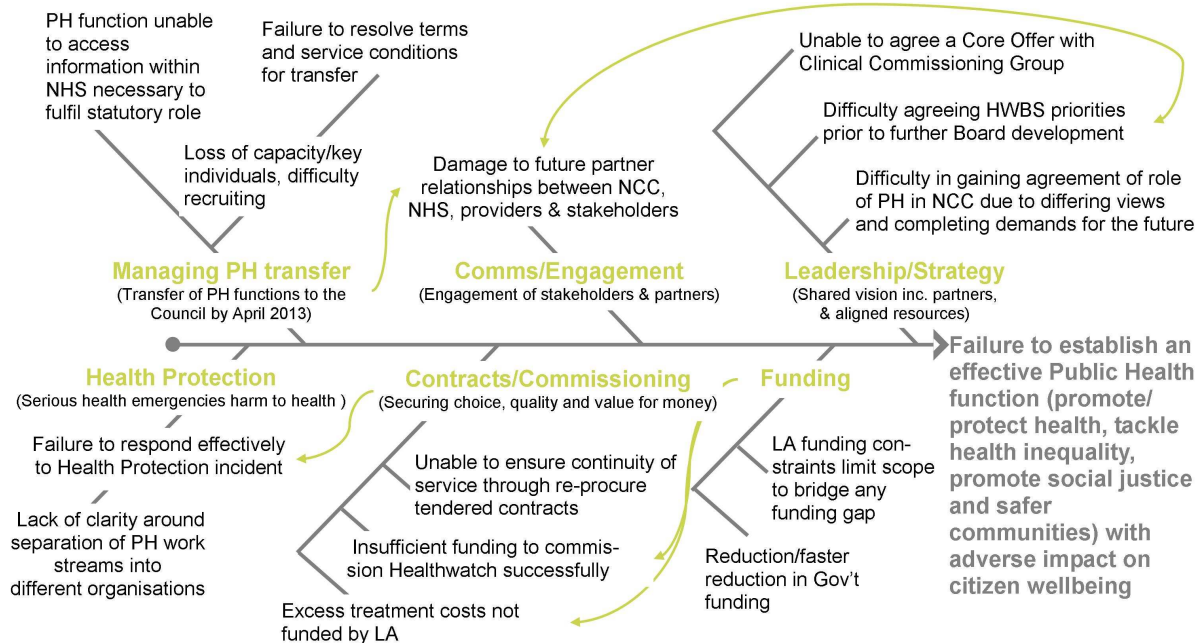
The transfer represents an opportunity to bring improvements to citizens through development of a local vision for public health and a more integrated approach to delivering that vision. Responsibilities, functions and resources transferring include:

| Responsibilities | Functions / Services |
|---|---|
| <p>Health protection & resilience (major health emergencies and serious harm to health)</p> <p>Health improvement (promoting the adoption of 'healthy' lifestyles)</p> <p>Health Care Public Health (provision of specific Public Health input to support NHS commissioning)</p> | <ul style="list-style-type: none"> • Provision of "core offer" of specialist Public Health support to Nottingham Clinical Commissioning Group (CCG) • Public Health strategy development • Public Health promotion • Commissioning and management of commissioned services <p>Commissioned services, for example:</p> <ul style="list-style-type: none"> • <i>Sexual Health Services</i>^M • <i>National Child Measurement Programme</i>^M • <i>NHS Health Check assessment</i>^M • <i>Plans to protect the health of the population</i>^M • <i>Elements of the Healthy Child Programme 5-19</i>^M • Tobacco control & smoking cessation service • Alcohol & drug misuse service • Interventions to tackle obesity • Public mental health services • Population level interventions to reduce and prevent birth defects • Role in Health protection incidents, outbreaks and emergencies • Aspects of promotion of community safety, violence prevention and response • Aspects of local initiatives to tackle social exclusion <p>^M Mandatory</p> |

Clearly there are significant causal risks to these functions and responsibilities, not least of which is managing the transition while maintaining services. The most significant/strategic risk is managing the transfer of approximately £20m of commissioned services.

Aside from the transition itself there are other areas of strategic risk impacting the establishment of an effective Public Health function and the Council. Funding allocation has yet to be finalised and a shortfall on previous years spending is anticipated of around £2.5m on a current £23.5m spend presenting risks not only to Public Health delivery, but also the ability of the Public Health budget to relieve pressure on the General Revenue Account through re-focussing Public Health activity to engage complementary Council Services.

This in itself presents challenges in terms of shifting the emphasis for Public Health policy, managing different stakeholder expectations and maintaining positive partner relationships/engagement. While some of these risks remain high, mitigations are in place or available to manage them to an acceptable level by April 2013. The following diagram provides an overview of the areas of risk and uncertainty and how they relate to one another (see RMAP included as **Appendix 5** for further detail).



In light of the scale and significance of Public Health changes, CLT agreed at its 6 November meeting that this risk should be added to the SRR as SR29.

5. UPDATE TO THE RISK MANAGEMENT FRAMEWORK (RMF)

5.1 The Risk Management Framework or RMF (comprising policy, strategy and process guide) describes the authority's arrangements for identifying, managing, escalating/delegating risks and individual/collective roles and responsibilities in support of those arrangements. A role of Audit Committee is to formally approve the RMF.

The RMF was adopted in 2006 and has been updated a number of times since. A minor change in this latest version stresses the importance of stakeholder engagement. However, the most significant change is the addition of a Risk Management Improvement/ Action Plan. The full RMF is not included here and has been copied to Audit Committee Councillors and made available through the Committee Online electronic agenda. However, the RM Improvement/Action Plan is included and if approved endorsed by Audit Committee will be added to the existing RMF (see **Appendix 6**).

5.2 The RM Improvement/Action Plan has been prepared in response to a CIPFA/ALARM benchmarking exercise undertaken in April 2012 which engaged representatives from Emergency Planning, Operational and Insurance Risk, Internal Audit, Legal, as well as the Departmental Risk Champions. The exercise involved completing a detailed questionnaire of 39 questions examining risk management across seven strands covering a number of different disciplines of risk management.

In terms of ALARM's National Performance Model for Risk Management, the authority scores:

- **ENABLERS** - Level 3 “Working” with a score of 62%. The next level “Embedding & integrated” requires a score of 70% or higher;
- **RESULTS** - Level 2 “Happening” with a score of 40%. The next level “Working” requires a score of 45% or higher.

| | Level 1 Awareness (0+) | Level 2 Happening (20%+) | Level 3 Working (45%+) | Level 4 Embedding & integrated (70%+) | Level 5 Driving (85%+) |
|-----------------|------------------------------|--------------------------------|------------------------------|--|------------------------------|
| ENABLERS | | | ● (63%) | | |
| RESULTS | | ● (40%) | | | |

The exercise highlighted the following strengths (scoring 70% and higher):

- The role of CLT and Audit Committee in providing regular assurance of the Risk Management Framework (RMF) and the control environment;
- Mechanisms in place to actively encourage staff to report risk, challenge and put forward ideas for improvement;
- Tools in place for collecting and recording risk information;
- Resources are in place which actively manage and minimise insurable risks;
- The outcome of the risk management process is communicated to relevant people and regularly reviewed to test its effectiveness and ensure relevance;
- The organisation conducts investigations and identifies causes and actions in response to major losses or significant incidents to improve management of risk.
- Well established arrangements for the escalation of risk, ensuring CLT and audit committee have the appropriate up to date information on risks.

The exercise also identified areas for improvement (scoring 50% and lower):

- The mandate and commitment for Risk Management is not continuous and high profile throughout all levels/parts of the organisation;
- There is no Risk Management action/improvement plan;
- For insured risks there is a lack of awareness with regards to residual risk. Risks are not sufficiently transferred through contractual arrangements;
- Embedding of Business Continuity Management is not complete or consistent throughout all levels/parts of the organisation;
- Limited evidence to demonstrate strategic risks are managed cost effectively;
- Limited evidence to support that colleagues/managers are confident with Risk Management and use it to support delivery of the Council's priorities;
- Difficult to evidence that there is positive assurance of the effectiveness of key controls within the organisation for the management of the Council's strategic risks;
- Risk Management is not independently reviewed to test compliance and effectiveness;
- Difficult to evidence Risk Management's contribution to improved outcomes/financial outcomes;
- Evidence that risk informs objectives for service areas, but no work plans with dated milestones/smart measures or visions on how the strategy can be achieved.

In response to the above the following areas of improvement are proposed/planned to address the areas of identified weakness. This work will require contributions from Corporate and Departmental resources:

- Development of RM improvement plans Corporate and Departmental linked to Risk Strategies aimed at embedding and improving RM practice;
- Role out RM training to managers, in support of Big Ticket and Transformation portfolio, induction of new starters and Councillor development;
- Strengthen links of policy to RM activity and RM activity in informing policy;
- Wider engagement of stakeholders in the identification, assessment of risks and determination of effective mitigations;
- Inclusion of consideration of opportunity alongside risk in formal reporting;
- Develop programme of work with targeted services to establish examples of good practice which can be propagated raising profile of, and embedding, risk management;
- Use of Covalent to better support alignment of risks to business objectives, track milestones and mitigation effectiveness and including early warning indicators;
- Development of combined Risk Management intranet Portal including business RM, Health & Safety, Business Continuity/Emergency Planning and Operational Insurance Risk;
- Work with planning colleagues to further embed RM within Service Planning philosophy and processes;
- Develop use of RM to support option appraisal;
- Build role of Internal Audit in providing positive assurance of the effectiveness of the RMF and controls drawing on information obtained as part of the Annual Governance Statement process;
- Consider approaches/guidance to cost business risk management activity to contribute to assessment of cost effectiveness.

Implementation will result in the following improvement in scoring:

| | Level 1 Awareness (0+) | Level 2 Happening (20%+) | Level 3 Working (45%+) | Level 4 Embedding & integrated (70%+) | Level 5 Driving (85%+) |
|-----------------|------------------------------|--------------------------------|------------------------------|--|------------------------------|
| ENABLERS | | | ● (63%) | ● (74%) | |
| RESULTS | | ● (40%) | ● (58%) | | |

In conclusion, the Council has for the most part sound risk management principles and processes and can demonstrate areas of good practice, but practice is not consistent across the Council and requires further embedding.

6. **FUTURE AUDIT COMMITTEE RISK REVIEWS**

- 6.1 The provision to select strategic risks for review allows Audit Committee to direct attention to areas of risk considered potentially significant to the Committee's operations and remit. The Audit Committee is invited to select two strategic risks from **Appendix 3** for more detailed examination in the SRR Q3 2012/13 Update.

7. **FINANCIAL IMPLICATIONS**

7.1 There are no direct financial implications arising from this report. Actions to mitigate identified constituent risks are contained within the RMAPs. These actions will be positioned within the Council's Corporate Directorate and Strategic Service Plans and, as appropriate, inform the medium term service and budget planning process.

8. **RISK MANAGEMENT ISSUES**

8.1 These are dealt with throughout the report.

9. **LIST OF BACKGROUND PAPERS OTHER THAN PUBLISHED WORKS OR THOSE DISCLOSING CONFIDENTIAL OR EXEMPT INFORMATION**

9.1 The following background papers were referred to in preparing this report:

- Quarter 2 2012/13 Strategic Risk Management Action Plans

10. **PUBLISHED DOCUMENTS REFERED TO IN COMPILING THIS REPORT**

10.1 The following reports were referred to in preparing this report:

- SRR Q1 Update reported to Audit Committee 27 July 2012

APPENDICIES

| Appendix | Description |
|-----------------|--|
| 1 | <i>SR26 - Failure to support Nottingham citizens and communities in minimising any negative impact of welfare changes (RMAP selected for review by Audit Committee)</i> |
| 2 | <i>xSR27 - Failure of Workplace Parking Levy to raise sufficient income to meet NET Phase Two funding requirements (RMAP selected for review by Audit Committee)</i> |
| 3 | Nottingham City Council Strategic Risk Register - Report Summary |
| 4 | <i>SR28 - Failure to ensure a financially sustainable adult social care system to respond to significant increases in demand for care while protecting our most vulnerable citizens (new RMAP for consideration by Audit Committee)</i> |
| 5 | <i>SR29 - Failure of Public Health service e.g. promoting/protecting health, tackling health inequality, promoting social justice & safer communities with adverse impact on citizen wellbeing (new RMAP for consideration by Audit Committee)</i> |
| 6 | Risk Management Framework Action & Improvement Plan |

Sponsoring Corporate Director

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SR26 – Failure to support Nottingham citizens and communities in minimising any negative impact of welfare changes.

The Coalition Government is implementing a series of reforms to the benefit system with the objective of saving £18 billion over the spending review period. Nottingham has a high level of exposure to the welfare reforms because of the large numbers of citizens who claim benefits but also because of concentrations in particular areas of the city. 40,600 people aged 16-64 in Nottingham City were claiming one or more Department for Work and Pensions benefit in August 2010 (nearly one in five of the City’s working age population). One Nottingham has commissioned work to understand the likely impacts on citizens, communities and services, as claimants will have to navigate complex, cumulative changes to the benefits system which over time will reduce the value of benefits and erode disposal household income. This risk links to SR2 - Reputation of the City, SR11 - Failure to address medium term financial pressures in a sustainable way and SR3 – Failure to mitigate the impact of the economic climate on Nottingham City and its citizens.

| | | Impact | | | | |
|------------|--------------------|----------------|-----------|--------------|-----------|------------------|
| | | Negligible (1) | Minor (2) | Moderate (3) | Major (4) | Catastrophic (5) |
| Likelihood | Remote (1) | 1 | 2 | 3 | 4 | 5 |
| | Unlikely (2) | 2 | 4 | 6 | 8 | 10 |
| | Possible (3) | 3 | 6 | 9 | 12 | 15 |
| | Likely (4) | 4 | 8 | 12 | 16 | 20 |
| | Almost certain (5) | 5 | 10 | 15 | 20 | 25 |

| Owner: | C. Mills Evans, Acting Chief Exec. | Completed by: | L. Jones, Interim Head of Corporate Policy | Date completed: | Oct 2012 | Review date: | Sep 2012 | | | | | | | |
|-----------------------|------------------------------------|---------------|---|-----------------|----------|---|----------|---|-----------------------|---|---|--|---|----------|
| RISK SUMMARY | | | | | | | | | | | | | | |
| Opening (Oct 10) | | | Previous (June 2012) | | | Current (Oct 2012) | | | Target (April 14) | | | Overall risk mitigation effectiveness (Adequate, Yet to secure improvement, Inadequate) | | |
| Threat level (Lxl=??) | | | Threat level (Lxl=??) | | | Threat level (Lxl=??) | | | Threat level (Lxl=??) | | | | | |
| | | | DoT ↓ Improving ↔ Stable ↑ Deteriorating | | | DoT ↓ Improving ↔ Stable ↑ Deteriorating | | | | | | | | |
| 4 | 4 | 16 | 4 | 4 | 16 | ↔ | 4 | 4 | 16 | ↑ | 3 | 3 | 9 | Adequate |

| CONSTITUENT RISKS TO BE MANAGED | | | | | | | | | | | | | | |
|---------------------------------|---|---------------------------------|---|----|----------------------------------|---|----|--------------------------------|---|----|---|--------------------------------|---|----|
| Risk Ref. | Constituent Risk Description | Opening Threat Level e.g. 2x4=8 | | | Previous Threat Level e.g. 2x4=8 | | | Latest Threat Level e.g. 2x4=8 | | | DoT ↓ Improving ↔ Stable ↑ Deteriorating | Target Threat Level e.g. 2x4=8 | | |
| | | | | | | | | | | | | | | |
| 1 | Failure to manage the impact on citizens of the transition to universal credit from 2013 to 2017 in terms of how citizens access UC and how UC is paid. (added to RMAP July 2011) | 3 | 4 | 12 | 3 | 4 | 12 | 3 | 4 | 12 | ↔ | 3 | 3 | 9 |
| 2 | Failure to develop, adopt and implement a Local Council Tax Support scheme by January 2013, as required by the Government's abolition of the national Council Tax Benefit and transfer of this responsibility to billing authorities. (updated June 2012) | 3 | 4 | 12 | 3 | 4 | 12 | 3 | 4 | 12 | ↔ | 2 | 3 | 6 |
| 3 | Our Local Council Tax Support scheme fails to: a) minimise unnecessary economic hardship to citizens b) avoid unnecessary increased financial burden to the Council (beyond Government allocated spend) c) minimise reputational damage in the context of the constraints of the overall Government policy to localise this responsibility, with reduced funding and the move from a demand led benefit to a fixed pot locally. | 4 | 4 | 16 | 4 | 4 | 16 | 4 | 4 | 16 | ↑ | 4 | 3 | 12 |
| 4 | Regional variations in local policy response to the Government localisation of welfare benefit could result in migration (long term benefit dependent) into the city increasing the financial burden to the city, economic hardship for citizens and adverse impact on communities. (added to RMAP Oct 2011 and updated December 2011) | 3 | 3 | 9 | 3 | 3 | 9 | 3 | 3 | 9 | ↔ | 2 | 2 | 4 |
| 5 | Failure to develop and implement a local Emergency Hardship Support scheme by April 2013, as a consequence of the Government's abolition of the national Discretionary Social Fund (Community Care Grants and Crisis Loans for Living Expenses) and transfer of this responsibility to top tier authorities. (updated June 2012) | 3 | 3 | 9 | 3 | 3 | 9 | 3 | 3 | 9 | ↔ | 2 | 3 | 6 |
| 6 | Failure to meet increased demand for services, particularly welfare advice, hardship funds and homelessness. | 5 | 4 | 20 | 5 | 4 | 20 | 5 | 4 | 20 | ↔ | 3 | 3 | 9 |
| 7 | Failure to provide effective information and advice for citizens likely to be affected by welfare changes relating to current benefits, eg Housing Benefit | 5 | 4 | 20 | 5 | 4 | 20 | 5 | 4 | 20 | ↔ | 3 | 3 | 9 |
| 8 | Failure to work effectively with social housing landlords to manage the impacts on citizens and landlords of the changes to HB under occupancy rules (added Sept 12) | 3 | 5 | 15 | L | I | | 3 | 5 | 15 | | 2 | 5 | 10 |
| 9 | Failure by DWP to successfully manage transition to UC minimising unnecessary hardship on Nottingham's citizens e.g. failure in planning, weekly to monthly payment in arrears (added Sept 2012) | 3 | 3 | 9 | L | I | | 3 | 3 | 9 | | 3 | 2 | 6 |

| CONSTITUENT RISKS TO BE MANAGED | | | | | | | | | | | | | | | | |
|---------------------------------|---|------------------------------------|---|----|-------------------------------------|---|--|-----------------------------------|---|----|---|-----------------------------------|--|---|---|---|
| Risk Ref. | Constituent Risk Description | Opening Threat Level e.g. 2x4=8 | | | Previous Threat Level e.g. 2x4=8 | | | Latest Threat Level e.g. 2x4=8 | | | DoT ↓ Improving ↔ Stable ↑ Deteriorating | Target Threat Level e.g. 2x4=8 | | | | |
| | | | | | | | | | | | | | | | | |
| 10 | Failure of the DWP (in conjunction with HMRC) to implement new IT system underpinning UC with potential for large scale non-payment of benefits (added Sept 2012) | 3 | 5 | 15 | L | I | | 3 | 5 | 15 | | | | 3 | 3 | 9 |

| EXISTING MANAGEMENT ACTIONS | | | | ADDITIONAL MANAGEMENT ACTIONS | | | ALL |
|---------------------------------------|---|--------------------|---|--|--------------------|----------------------------------|-------------|
| Risk Ref. | Description of actions already in place to mitigate the identified risks | Person accountable | Adequacy of those actions (Adequate, Yet to secure improvement, Inadequate) | Description of additional actions to put in place (mandatory where current risk mitigation effectiveness is "Inadequate") | Person accountable | Date action due to be completed | Review date |
| Citizen awareness/preparedness | | | | | | | |
| 1, 3,5,6,7 | Advice services now fully re-commissioned till 2014. Contract awarded to a consortia of local and national providers, including CAB, Deaf Society, St Ann's Advice services and other local providers. | LB | Adequate | Advice Nottingham consortium scoping additional support they may require to communicate key messages and changes supporting citizens directly. (update as at 10 Oct 2012) | | Completed | Jan-14 |
| 3,6,7 | Targeted communications to households at risk of being affected by Welfare Reform, especially focussed on changes to benefits administered directly by the Council (Egg. LHA, single room rate, non-dependent deductions changes, the benefit cap and under occupancy). | LB | Adequate | <p>Lead Cllrs identified for Welfare Reform Communications (Cllr Piper & Cllr Klein).</p> <p>Benefit cap - all households that will be affected have been identified. Financial impact ranges from a few pence to £ 450 per week. Cross matching data with care systems to check if they are already known to NCC eg childrens services to ensure support is routed through the best mechanism. Households affected will be contacted directly and offered information and support - this contact will be prioritised on the level of financial impact.</p> <p>Under occupancy - data matching has begun to support RSLs to identify households that may be affected. Will be completed by end of Oct 2012. NCH have begun to contact households they think will be affected in order to gauge if households will be able to plug the gap or if alternative accommodation may be required in the future. The findings are being mapped to identify the scale of households likely to seek a move.</p> <p>Once data matching has been done, the HB service will notify every household affected during November / December 2012</p> | LB | On-going, with a phased approach | Dec-12 |

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| 3,6,7 | | | | Dunkirk & Lenton partnership project to support 350 tenants of high rise properties being decommissioned - they will work with tenants to understand how citizens prefer communication on welfare reform changes, give direct support to understand what the changes will mean for them & linking into advice, banking services & relocation. | LB | Jan-13 | Jan-13 |
| 1,2,3,4,5,6,7 | Communicating forthcoming changes to citizens and councillors | LJ and LB | Adequate | <p>Welfare reform Communications group which includes key partners is in place and is implementing comms strategy. This takes a phased approach to communicating welfare changes to the broader community focussing on the next 6 months. Comms strategy being updated - intended to co-ordinate communications & provide clear narrative, accurate and timely info for all to use with citizens/ partners - the 'one truth' document - and equip wider workforce in NCC and partners in the community with key messages and routes to support. Monthly review of forward communications plan to ensure wider awareness of welfare reform and broader benefit changes (eg those benefits administered by DWP/ HMRC) and NCH also involved.</p> <p>Agreed communication channels to share welfare reform comms at a national and local level to be driven through the Homelink group of RSLs and through Housing Strategy to private landlords.</p> | LJ and LB | On-going, with a phased approach | Dec-12 |

| EXISTING MANAGEMENT ACTIONS | | | | ADDITIONAL MANAGEMENT ACTIONS | | | ALL |
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| Policy development work | | | | | | | |
| 6,7 | Working with NCH and other RSLs on scoping, understanding and managing the risk posed by under occupancy rules due to come into effect in April 2013, including allocations approach and advice and support to tenants (for communications on this, see above). | TM and GD | Yet to secure improvement | <p>Planning response with Homelink partners, including NCH & RSLs, on developing the allocation approach.</p> <p>Sub group of RSLs in place chaired by NCH to determine the best use of stock and manage housing stock. Provides a partnership approach to impacts of welfare reform, eg taking account of welfare reform in allocations policy reviews, promote mutual exchange to tackle under-occupation and ensuring frontline staff are fully briefed on welfare reform changes affecting tenants. Agreement from all RPs to share data to identify tenants affected and to promote Homeswapper as widely as possible. Data sharing protocols agreed for response to under occupancy changes. RSLs developing additional support for tenants as part of welfare reform plans.</p> <p>Discretionary Housing Payment policy being reviewed now to focus it on prevention of homelessness, financial support for under occupancy on a short term basis while other longer term solutions are sought. Key focus will be on those households impacted by HB under occupancy such as people with disability and foster carers.</p> | GM | Apr-13 | Dec-12 |

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| 1 | | | | Working with NCH and other RSLs on scoping, understanding and managing the risk posed by Universal Credit payments system which will mean a single monthly payment of UC to households with breakdown of the various costs. RSLs set up project groups to work on Universal Credit and to work with Credit Unions on jam jar accounts. | TM and LB | Oct-13 | Dec-12 |

| EXISTING MANAGEMENT ACTIONS | | | | ADDITIONAL MANAGEMENT ACTIONS | | | ALL |
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| 1,2,3,4,5 | <p>Programme management of the localisation of benefits e.g. - Task and Finish Group on Local Council tax Support scheme has developed proposals, working with Leicester and Derby City Councils</p> <p>- work done with Notts LAs to seek to develop a shared local approach to council tax support - this has not proved possible due to the very different levels of funding gap faced by each of the Notts LAs</p> <p>- Task and Finish Group in place to develop a local emergency hardship support scheme, with clear project timelines in place - work progressing to analyse current demand for the Discretionary Social Fund (CCGs & Crisis Loans for Living Expenses) to support the development of policy options for a local emergency hardship scheme</p> <p>- engagement with faith sector/ voluntary sector in development of local responses on welfare reform</p> | LJ | Adequate | <p>Additional resources: Recruitment of Policy Officer complete</p> <p>Early indicative modelling to inform the Local Council Tax Support scheme completed & presented to senior leaders (CLT and Executive Cllrs) as part of work to develop local C Tax support scheme proposals.</p> <p>Pre-consultation engagement complete.</p> <p>Formal public consultation underway 5th Sept - 30th October 2012 to share key messages of the abolition of CT Benefit and seek views on the proposed Local Council Tax Support Scheme. Online information available and programme of face-to-face consultation sessions underway.</p> <p>Operational planning underway for implementation of Council Tax Support.</p> <p>Policy options for a local emergency hardship support scheme to replace CCGs and CLLEs scoped and are being considered (CLT).</p> <p>Discussion supported at the Interfaith Forum on poverty to raise awareness of the welfare changes with faith partners. Work underway to scope briefing/ training requirements to support frontline faith partners.</p> | LJ and LB | ongoing | Jan-13 |

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| 1, 6, 7 | | | | Working to increase levels of landlord accreditation & improve standards of private rented housing - this will build confidence in the private sector market and improve access to good quality private sector housing for citizens | GD | Live in Jan 2013 | Jun-13 |
| Partnership work | | | | | | | |
| 6, 7 | | | | Data sharing protocols agreed with NCH for response to under occupancy changes. (see above) | | completed | |
| 1,2,3,4,5,6,7 | Communications and engagement with the partners including the advice sector | LB | Yet to secure improvement | Regular welfare reform briefings given to the Community Equality Forum , Advice Nottingham and other partners. Work underway with faith groups and advice Nottingham to share key messages, the 'one truth' and build basic money management skills. | LB and LJ | On-going | Dec-12 |
| 1,3,5,6,7 | | | | Secured £1m Big Lottery funding to deliver resources to improve financial confidence of existing young citizens age (under 25) in social housing and new tenants of all ages. Implementation timescales - currently recruiting advisors - Jan 2013 | GD (working with Advice Agencies) | Bid successful; implementation in progress | Jan-13 |
| 1, 6, 7 | Working with private landlords to maintain relationships and to ensure continued provision of private rented accommodation as housing solutions for low income and vulnerable people and manage impact of housing benefit reform on private housing market. | GD | Yet to secure improvement | Working to increase levels of landlord accreditation & improve standards of private rented housing | GD | On-going | Jan-13 |

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| 6 | Develop short life housing options with NCH housing stock programmed for demolition using homelessness power for providing temporary accommodation for non-priority need groups. | GH | Adequate | Also secured a support worker for 12 months to provide low level support. | GH | Completed | Jun-13 |
| 1,5 | Promotion of Credit Union (CU) with NCC and exploring potential role in relation to broader welfare reform, especially localisation of aspects of the social fund. | LB | Yet to secure improvement | | | On-going | Jan-13 |
| Operational preparedness | | | | | | | |
| 1 | Explore possibility of pilot for delivery of Universal Credit with Rushcliffe Borough Council and other Notts LAs - Completed. Nottingham decided not to bid for the pilots but will keep in touch with other LAs that did. | LJ | Adequate | Review Revs/Bens operating model in readiness for implementation of Universal Credit | LB | Apr-13 | Oct-13 |

| EXISTING MANAGEMENT ACTIONS | | | | ADDITIONAL MANAGEMENT ACTIONS | | | ALL |
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| 1, 6 | Providing services to prevent and relieve homelessness (whether or not someone is owed a duty) | GH | Adequate | <p>Exploring the possibility of additional prevention services from £381k funding to Nottinghamshire & Nottingham - expansion of rough sleeping work & increasing availability of private rented sector property for vulnerable people - Sept 2012 - 12 months.</p> <p>Draft action plan agreed in principle with DCLG and PFH Dave Liversidge. Includes;</p> <p>Expansion of Rough Sleeping response for all LA's, Winter Shelter in partnership with Faith Groups for City and County, expansion of Private Rented Sector (PRS) activity in City and County in House and with Vol Sector partners.</p> <p>Social Exclusions Review identified additional expansion of PRS for homelessness prevention and plans seeking approval in place with Commissioning</p> | GH | Ongoing | Early 2013 On Target |
| 1,6,7 | Continued funding for frontline Specialist Debt Advisor (based in Housing Aid) | LB | Adequate | | | Ongoing | Jan-13 |
| 1,6,7 | | | | <p>Implement programme of Landlord recruitment and retention within Housing Aid.</p> <p>This will be a programme of continued expansion attached to the Nottingham Standard, Housing Aid PRS model and for the PRS order expected to be ratified in Nov 2012 by HMGov.</p> | GH | Ongoing | Jan-13 |

| EXISTING MANAGEMENT ACTIONS | | | | ADDITIONAL MANAGEMENT ACTIONS | | | ALL |
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| 1,6,7 | | | | <p>Review incentive schemes within Housing Aid to consider opportunities for efficiencies and improving access to PRS.</p> <p>The expansion of the PRS activity requires a whole review of incentive activity and a simplification of existing schemes. This is being undertaken. New project being created. Project Manager appointed.</p> | GH | Apr-13 | Jan-13 |
| 1,6,7 | | | | <p>Successfully negotiated additional accommodation for remodelling former Supporting People commissioned properties for use by low risk vulnerable citizens - recommissioned 50 bed spaces at YMCA & 18 props with Framework as move on accommodation</p> | GH | Completed | |
| DWP Universal Credit implementation | | | | | | | |
| 9,10 | <p>Writing to the Lord Freud, Minister for Welfare Reform with questions regarding risks of transition to Universal Credit minimising unnecessary hardship on Nottingham's citizens and failure to implement new Universal Credit IT system.</p> <p>Awaiting reply</p> | LJ | Adequate | | | Completed | |

xSR-27 - Failure of Workplace Parking Levy to raise its target contribution for NET phase 2 requiring the Council to meet outstanding financial commitments

The Workplace Parking Levy (WPL) is being introduced from October 2011 with charging commencing in April 2012. All workplaces are required to have a licence, with those that provide 10 or more employee parking spaces paying the levy. The purpose of WPL is to raise revenue as part of NCCs contribution to the NET Phase Two, HUB and Link Buses projects with the purpose of encouraging commuters to more sustainable transport modes and developing and supporting improved public transport infrastructure. The projected income from WPL in the first year (2012/13) is approx £8million; at that level, and assuming the projected figures for all the other variables do not increase, the overall income was projected to cover the overall expenditure.

Since businesses have been required to register eligible places and the actual collection of WPL has commenced, the projected 2012/13 income has been revised to reflect the projected reduction to £7.8million. If this trend continues, there will be a significant impact on the overall income received over the life of the NET Ph 2 contract.

The success or failure of WPL to raise the expected revenue will have an impact on:

- the scope and continuation of the public transport projects - NET Phase Two, Hub and Link Buses.
- NCC's medium to long term finances which may be called upon to fulfill any shortfall.
- the reputation of NCC in terms of its delivery of significant infrastructure projects and its relations with residents, employers and employees.
- NCC's ability to realise its long term and wider economic, environmental and transport objectives.

Links with the Strategic Risks: SR-2 "Poor reputation of the city" and SR-11 "Failure to address medium term financial pressures in a sustainable way".

| | | Impact | | | | |
|------------|--------------------|----------------|-----------|--------------|-----------|------------------|
| | | Negligible (1) | Minor (2) | Moderate (3) | Major (4) | Catastrophic (5) |
| Likelihood | Remote (1) | 1 | 2 | 3 | 4 | 5 |
| | Unlikely (2) | 2 | 4 | 6 | 8 | 10 |
| | Possible (3) | 3 | 6 | 9 | 12 | 15 |
| | Likely (4) | 4 | 8 | 12 | 16 | 20 |
| | Almost certain (5) | 5 | 10 | 15 | 20 | 25 |

| Owner: | J. Kelly CD-Communities | Completed by: | A. Vaughan Dir Neighbourhood Serv. | Date completed: | Sep 2012 | Review date: | Jan 2013 | | | | | |
|--------------------------|-------------------------|--------------------------|------------------------------------|---|----------------------|--------------------------|----------|---|--|--------------------------|---|---|
| RISK SUMMARY | | | | | | | | | | | | |
| Opening (Q1 11/12) | | Previous (Q1 2012/13) | | | Current (Q2 2012/13) | | | Target (Apr 2013) | Overall risk mitigation effectiveness (Adequate, Yet to secure improvement, Inadequate) | | | |
| Threat level (Lxl=??) | | Threat level (Lxl=??) | | DoT ↓ Improving ↔ Stable ↑ Deteriorating | | Threat level (Lxl=??) | | DoT ↓ Improving ↔ Stable ↑ Deteriorating | | Threat level (Lxl=??) | | |
| 3 | 4 | 3 | 3 | 9 | ↓ | 3 | 3 | 9 | | ↓ | 2 | 3 |
| Adequate | | | | | | | | | | | | |

| CONSTITUENT RISKS TO BE MANAGED | | | | | | | | | | | | | | |
|---------------------------------|--|------------------------------------|---|----|-------------------------------------|---|----|-----------------------------------|---|----|---|-----------------------------------|---|---|
| Risk Ref. | Constituent Risk Description | Opening Threat Level e.g. 2x4=8 | | | Previous Threat Level e.g. 2x4=8 | | | Latest Threat Level e.g. 2x4=8 | | | DoT ↓ Improving ↔ Stable ↑ Deteriorating | Target Threat Level e.g. 2x4=8 | | |
| | | | | | | | | | | | | | | |
| 1 | Employers do not understand their obligations to comply with the WPL scheme resulting in significant levels of non-compliance, increased enforcement activities and reduced WPL revenue (QOb2R2) | 3 | 4 | 12 | 1 | 4 | 4 | 1 | 4 | 4 | ↔ | 2 | 3 | 6 |
| 2 | Widespread and persistent displaced parking resulting in a negative perception of the WPL scheme, increased cost in traffic management resources and reduced WPL revenue (QOb5R1). | 3 | 4 | 12 | 3 | 4 | 12 | 3 | 4 | 12 | ↔ | 2 | 3 | 6 |
| 3 | Administration burden for employers is too high resulting in significant levels of non-compliance, increased enforcement activities, negative perception of the WPL scheme and reduced WPL revenue (BOb2R3 and see QOb2R6) | 3 | 4 | 12 | 1 | 2 | 2 | 1 | 2 | 2 | ↔ | 2 | 3 | 6 |
| 4 | Fail to recruit all resources resulting in the need to reduce the scope of compliance and enforcement activities (QOb6R1) | 3 | 4 | 12 | 2 | 2 | 4 | 2 | 2 | 4 | ↔ | 2 | 2 | 4 |
| 5 | Less liable workplace parking places than originally estimated resulting in reduced WPL revenue and reduction of business support and planned public transport improvements (BOb1R1) | 3 | 3 | 9 | 3 | 3 | 9 | 3 | 3 | 9 | ↔ | 2 | 2 | 4 |
| 6 | Failure of businesses to understand benefits of WPL results in premise relocation outside of the city. | 3 | 3 | 9 | 3 | 3 | 9 | 3 | 3 | 9 | ↔ | 3 | 3 | 9 |
| 7 | Failure of IT or administrative processes results in reduced WPL revenue collection. | 2 | 2 | 4 | 1 | 2 | 2 | 1 | 2 | 2 | ↔ | 2 | 2 | 4 |

| EXISTING MANAGEMENT ACTIONS | | | | ADDITIONAL MANAGEMENT ACTIONS | | | ALL |
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| 1&6 | The WPL communications campaign commenced on the 16th May and all employers have been mailed either the employer handbook or small employers leaflet and the WPL team will continue to disseminate the positive messages of the business benefits of reduced congestion and improved accessibility of the WPL package of investments. The renewal campaign to encourage employers commenced in January 2012 and over 99% employers renewed their licences for the 1 April 2012 deadline. | JG | Adequate | | | Completed | Complete |
| 1&6 | Media activity is ongoing and a further mailshot was issued in October to target those employers who haven't obtained a licence to advise employers that they are legally obliged to licence all workplace parking places. The WPL team has been undertaking an extensive programme of employer engagement and site visits to encourage compliance with the scheme during the period of no charge (Oct 11-Mar 12) and this has continued now into the period of charging. | JG | Adequate | | | Completed | Complete |

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| 1&6 | Employer workshops to communicate the benefits of the WPL scheme and guide them through the licensing process have been held with the top 6 employers pre the communications campaign and further workshops have been held with over 60 head teachers, 40 school governors and 165 of the medium/larger employers as part of the communications campaign. | JG | Adequate | | | Completed | Complete |
| 1 | The campaign to advise employers to obtain a WPL licence ended on the 30th September. Currently 3,031 premises hold a WPL licence (01/03/12). The communications are now focussing on targeting those employers who haven't licensed and making them aware of their legal obligations to licence all workplace parking places. The WPL team has been contacting and undertaking site visits to these employers to encourage them to comply with the scheme now charging has commenced and over 99% of employers have obtained a WPL licence. | JG | Adequate | | | Completed | Complete |

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| 1&6 | The WPL project team is continuing to meet with employers on a one to one basis to discuss site specific issues related to licensing, compliance and enforcement and disseminate the positive messages of the business benefits of reduced congestion and improved accessibility of the WPL package of investments. Meetings have been held with a number of the larger employers including Boots, Nottingham University, Trent University, NCN, EoN, Experian, Imperial Tobacco, NHS. | JG | Adequate | | | Completed | Complete |
| 2 | Scoping studies have been produced for the 9 wards and tightening up works and consultation has commenced within some of these wards as part of the implementation of the scheme. These studies are being used to inform the TM work programme to address displaced parking issues as they arise. | SH | Adequate | | | | Q3 2012/13 |
| 2 | A £200k budget is available for the first 3 years of the scheme to fund traffic management initiatives. Staff resources has been recruited since June 2010 to provide technical resource. A detailed programme of works commenced in January 2012 to address potential displaced parking issues and is being proactively adapted to respond to new issues as they arise. | SH | Adequate | | | | Q3 2012/13 |

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| 3 | The registration system has undergone extensive field testing with a range of stakeholders and the top 6 employers. Employers who have 10 or less liable places (approx 85% liable employers) will take approx 10min to complete for an average employer. In future years the administrative burden for employers will be reduced due to a renewal only requiring confirmation that the licence details are still valid and will only have to amend the licence if their parking requirements have changed. 2,892 employers have obtained a WPL licences (21/12/11). | JG | Adequate | | | Completed | Complete |
| 3 | Feedback questionnaires are being emailed to those employers who have received licenses to identify any areas for improving the registration process. Current feedback shows that 92% of applicants found the system simple to use and it took 89% less than 30 minutes to complete their application. | JG | Adequate | | | Completed | Complete |
| 4 | Two senior officers are now fully trained to enable them to engage with employers. | JG | Adequate | | | Completed | Complete |

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| 4 | 4 WPL officers started in post in September and are undergoing a training programme and they have started engaging with employers to establish working relationships with them and ensure they are licensed correctly. | JG | Adequate | | | Completed | Complete |
| 4 | An internal applicant has been appointed to the post of administrative officer to support the WPL team and started in post in November. | JG | Adequate | | | Completed | Complete |
| 5 | The Off Street Parking Audit 6 (OSPA6) results showed a small increase in the number of WPL liable spaces (1528) since the previous survey OSPA5 (2005). Several of the larger employers had reduced their parking during this period but this was offset by the number of new employers being added to the results (NG2 etc). This brings confidence that the number of liable spaces is remaining fairly stable and therefore the risk of there being a significantly less liable spaces than forecast is reduced. However, active parking management by larger employers could result in a reduction in eligible spaces against the anticipated model (16% contingency included in the financial model). | JG | Adequate | | | Completed | Complete |

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| 5 | Analysis of employers registration data against OSPA is being undertaken to assess the variation between the surveyed and licensed WPL places. Employers with significant variations to OSPA are being prioritised by the WPL team for site visits to verify their licence applications. Site surveys are being undertaken to identify employers who have not licensed and these are being visited by the WPL team and notified of their non compliance. Desktop analysis and one to one meetings with employers are being undertaken to identify associated employers and verify discount eligibility to ensure that employers are licensed correctly. Compliance and enforcement activities are now being undertaken to ensure employers comply with their legal obligations and it is expected that a PCN will be issued in 2012/13 to ensure the scheme is legally robust and employers are aware of the consequences of non compliance. | JG | Adequate | | | | Q3 2012/13 |
| 6 | Ensure that robust communications strategies are in place for both WPL and NET | IR | Adequate | | | | Q3 2012/13 |
| 7 | The WPL IT system and processes have undergone extensive scenario testing with both internal and external stakeholders to ensure they are robust and fit for purpose. | JG | Adequate | | | Completed | Complete |

Nottingham City Council Risk Register - Report Summary

| Ref. | Risk description | SR criteria | | | | | | | Estimated Threat Level / Seriousness / DoT | | | | DoT | Target Threat Level | Managing Accountability | | |
|--------|--|-------------|----------|-------|------------|-------|--------------------|--------------|--|------------|-----------|---------------|-----|---------------------|--------------------------------------|--|---------|
| | | Highest Pri | Corp Mit | Legal | Reputation | H & S | Citizen well-being | Financial | Date threat level & DoT | 2011/12 | | 2012/12 | | | Corp. Director (Risk Owner) | Lead Director or Senior Colleague | |
| | | | | | | | | | | Q3 | Q4 | Q1 | | | | | Q2 |
| SR26 | Failure to support Nottingham citizens and communities in minimising the negative impact of welfare changes. | | ✓ | | | | ✓ | Date | Jan-12 | Mar-12 | Jun-12 | Oct-12 | ↑ | Apr-14 | C. Mills-Evans Acting Chief Exec. | T. Kirkham Strategic Finance Director | |
| | | | | | | | | Threat Level | 16 (4X4) R | 16 (4X4) | 16 (4x4) | 16 (4x4) R | | 9 (3x3) | | | |
| | | | | | | | | DoT | Stable | Stable | Stable | Deteriorating | | | | | |
| SR19 | Failure to deliver Council Plan priorities (under review) | | | | ✓ | | | Date | Jan-12 | Jan-12 | Jan-12 | Jan-12 | ↔ | Sep-11 | A. Probert Acting CD Resources | A. Probert Director HR & Transformation | |
| | | | | | | | | Threat Level | 16 (4X4) | 16 (4X4) | 16 (4x4) | 16 (4x4) | | 9 (3x3) | | | |
| | | | | | | | | DoT | Stable | Stable | Stable | Stable | | | | | |
| SR6 | Failure to safeguard vulnerable children | | ✓ | ✓ | ✓ | | ✓ | Date | Jan-12 | Apr-12 | Jun-12 | Oct-12 | ↓ | Apr-13 | I. Curryer CD-Ch & Fam | S. Gautam Director Specialist Services | |
| | | | | | | | | Threat Level | 15 (3x5) | 15 (3x5) | 15 (3x5) | 15 (3x5) | | 10 (2x5) | | | |
| | | | | | | | | DoT | Improving | Improving | Improving | Improving | | | | | |
| SR7a/b | Failure to reduce levels of crime and anti-social behaviour (ASB) (risk updated Q2 2012/13) | ✓ | ✓ | | ✓ | | ✓ | Date | | | | Oct-11 | N/A | Jan-13 | J. Kelly CD-Comm | E. Orrock Comm Safety Exec. Coordinator | |
| | | | | | | | | Threat Level | | | | Updated risk | | 12 (3x4) | | | 8 (2x4) |
| | | | | | | | | DoT | | | | N/A | | N/A | | | |
| SR11 | Failure to address medium term financial pressures in a sustainable way | | ✓ | | ✓ | | ✓ | Date | Feb-12 | Apr-12 | Jun-12 | Oct-12 | ↔ | Mar-13 | A. Probert Acting CD Resources | T. Kirkham Strategic Finance | |
| | | | | | | | | Threat Level | 12 (3x4) R | 12 (3x4) R | 12 (3x4) | 12 (3x4) | | 6 (3x2) | | | |
| | | | | | | | | DoT | Stable | Stable | Stable | Stable | | | | | |
| SR12a | Failure to provide the best educational outcome for children and opportunities for young people to access further education and skills training to contribute to the economic wellbeing of the City | ✓ | ✓ | | ✓ | | | Date | Dec-11 | Mar-12 | Jun-12 | Oct-12 | ↔ | Apr-13 | I. Curryer CD-Ch & Fam | G. Ellis Director Schools & Learning | |
| | | | | | | | | Threat Level | 12 (3x4) | 12 (3x4) | 12 (3x4) | 12 (3x4) | | 8 (2x4) | | | |
| | | | | | | | | DoT | Stable | Stable | Stable | Stable | | | | | |
| SR14 | Failure to deliver culture change (under review) | | ✓ | | | | | Date | Jan-12 | Jan-12 | Jan-12 | Jan-12 | ↔ | Apr-11 | A. Probert Acting CD Resources | A. Probert Director HR & Transformation | |
| | | | | | | | | Threat Level | 12 (3x4) | 12 (3x4) | 12 (3x4) | 12 (3x4) | | 8 (2x4) | | | |
| | | | | | | | | DoT | Stable | Stable | Stable | Stable | | | | | |
| SR28 | Failure to ensure a financially sustainable adult social care system to respond to significant increases in demand for care while protecting our most vulnerable citizens (new risk added Q2 2012/13) | | | | ✓ | | ✓ | Date | | | | Oct-12 | N/A | TBA | I. Curryer CD-Ch & Fam | H. Jones Dir for Adult Assessment | |
| | | | | | | | | Threat Level | | | | New risk | | 12 (4x3) | | | TBA |
| | | | | | | | | DoT | | | | N/A | | | | | |
| SR29 | Failure to establish an effective Public Health function impacting citizen wellbeing and a failure to deliver the authority's statutory responsibilities (new risk added Q2 2012/13) | | | | ✓ | | ✓ | Date | | | | Oct-12 | N/A | Apr-13 | A. Probert Acting CD Resources | C. Kenny Dir Public Health / A. Hall Dir Health & Welbeing Trans | |
| | | | | | | | | Threat Level | | | | New risk | | 12 (4x3) | | | 9 (3x3) |
| | | | | | | | | DoT | | | | N/A | | | | | |

| Ref. | Risk description | SR criteria | | | | | | | Estimated Threat Level / Seriousness / DoT | | | | DoT | Target Threat Level | Managing Accountability | | |
|-------|--|-------------|----------|-------|------------|-------|--------------------|--------------|--|------------------|------------------|------------------|---------|---------------------|-----------------------------|--------------------------------------|---|
| | | Highest Pri | Corp Mit | Legal | Reputation | H & S | Citizen well-being | Financial | Date threat level & DoT | 2011/12 | | 2012/12 | | | Corp. Director (Risk Owner) | Lead Director or Senior Colleague | |
| | | | | | | | | | | Q3 | Q4 | Q1 | | | | | Q2 |
| SR3 | Failure to mitigate the impact of the economic climate on the Nottingham City and its citizens | | | | ✓ | | ✓ | | Date | Jan-12 | Apr-12 | Jun-12 | Oct-12 | ↓ | Apr-12 | D. Bishop CD-Dev | J. Yarham Dir Economic Innovation & Employment |
| | | | | | | | | Threat Level | 12 (4x3) | 12 (4x3) | 12 (4x3) | 12 (4x3) | 9 (3x3) | | | | |
| | | | | | | | | DoT | Improving | Improving | Stable | Improving | | | | | |
| SR24 | Failure to ensure effective systems are in place to manage health and safety risks | | | | ✓ | ✓ | ✓ | ✓ | Date | Jan-12 | Mar-12 | Jun-12 | Oct-12 | ↑ | Dec-12 | A. Probert Acting CD Resources | P. Millward Head of Service Emergency Planning |
| | | | | | | | | Threat Level | 6 (2x3) | 6 (2x3) | 6 (2x4) | 9 (3x3) | 6 (2x3) | | | | |
| | | | | | | | | DoT | Improving AT TARGET | Stable AT TARGET | Stable AT TARGET | Deteriorating | | | | | |
| SR8a | Failure to implement and embed effective information management structures, polices, procedures, processes | | ✓ | ✓ | ✓ | | | ✓ | Date | Jan-12 | Mar-12 | Jun-12 | Oct-12 | ↔ | Jun-14 | A. Probert Acting CD Resources | M. Gannon Director IT |
| | | | | | | | | Threat Level | 9 (3x3) R | 9 (3x3) | 9 (3x3) | 9 (3x3) | 3 (1x3) | | | | |
| | | | | | | | | DoT | Improving | Improving | Improving | Stable | | | | | |
| SR10 | Failure to maintain good standards of governance | | ✓ | | ✓ | | | ✓ | Date | Jan-12 | Jan-12 | Jun-12 | Oct-12 | ↔ | Mar-13 | A. Probert Acting CD Resources | G. O'Connell Director Legal & Democratic Services |
| | | | | | | | | Threat Level | 12 (4x3) | 12 (4x3) | 9 (3x3) | 9 (3x3) | 6 (2x3) | | | | |
| | | | | | | | | DoT | Stable | Stable | Improving | Stable | | | | | |
| SR1 | Failure to implement harmonised pay, grade & terms & conditions, that are fair to all colleagues & Equal Pay legislation compliant | | ✓ | ✓ | ✓ | | | ✓ | Date | Jan-12 | Mar-12 | Jun-12 | Oct-12 | ↔ | May-13 | A. Probert Acting CD Resources | J. Spilbury Head of Service HR Strategy & Employee Relations |
| | | | | | | | | Threat Level | 12 (3x4) | 12 (3x4) | 8 (2x4) | 8 (2x4) | 6 (2x3) | | | | |
| | | | | | | | | DoT | Stable | Stable | Improving | Stable | | | | | |
| SR5a | Failure to safeguard vulnerable adults | | ✓ | ✓ | ✓ | | ✓ | ✓ | Date | Dec-12 | Dec-12 | Dec-12 | Oct-12 | ↔ | Apr-13 | I. Curryer CD-Ch & Fam | H. Jones Dir Comm Inclusion E. Yardley Dir Access & |
| | | | | | | | | Threat Level | 8 (2x4) | 8 (2x4) | 8 (2x4) | 8 (2x4) | 4 (1x4) | | | | |
| | | | | | | | | DoT | Stable AT TARGET | Stable AT TARGET | Stable AT TARGET | Stable | | | | | |
| SR16a | Failure of partners including the City Council to work effectively together to achieve vision and outcomes in the Nottingham Plan to 2020 | | ✓ | | ✓ | | ✓ | | Date | Nov-11 | Mar-12 | Jun-12 | Oct-12 | ↔ | 2014 | C. Mills-Evans Acting Chief Exec. | C. Richmond Acting Dir Policy Partnerships & Comms |
| | | | | | | | | Threat Level | 8 (2x4) | 8 (2x4) | 8 (2x4) | 8 (2x4) | 8 (2x4) | | | | |
| | | | | | | | | DoT | Improving AT TARGET | Stable AT TARGET | Stable AT TARGET | Stable AT TARGET | | | | | |
| SR25 | Failure to deliver improved outcomes through the implementation and embedding of the Commissioning Framework within the directorate, the council and with partners (under review) | | | | ✓ | | ✓ | ✓ | Date | Jan-12 | Jan-12 | Jan-12 | Jan-12 | ↔ | Apr-12 | I. Curryer CD-Ch & Fam | C. Brudenell Director Quality & Commissioning |
| | | | | | | | | Threat Level | 8 (2x4) | 8 (2x4) | 8 (2x4) | 8 (2x4) | 6 (2x3) | | | | |
| | | | | | | | | DoT | Stable | Stable | Stable | Stable | | | | | |
| SR2a | Of the reputation of the City (Risk updated Q2 2012/13) | | ✓ | | ✓ | | | ✓ | Date | | | | Oct-12 | N/A | Oct-12 | C. Mills-Evans Acting Chief Exec. | C. Richmond Acting Dir Policy Partnerships & Comms |
| | | | | | | | | Threat Level | | | | 6 (2x3) | 6 (2x3) | | | | |
| | | | | | | | | DoT | | | | N/A | | | | | |

DIRECTION OF TRAVEL (DoT):

Improving (reducing) threat level



Stable threat level



Deteriorating (increasing) threat level



SR28 - Failure to ensure a financially sustainable adult social care system is in place to respond to the significant increase in demand for care and at the same time protects our most vulnerable citizens

This risk is aligned to the delivery of the 'Big Ticket' programme as part of the Council's transformation portfolio and is designed to

- a) Deliver a range of short and long term savings as part of the Council's Medium Term Financial Plan
- b) Respond to national policy drivers around personalisation and greater citizen choice
- c) Ensure more collaborative working with partners, in particular Health

| | | Impact | | | | |
|------------|--------------------|----------------|-----------|--------------|-----------|------------------|
| | | Negligible (1) | Minor (2) | Moderate (3) | Major (4) | Catastrophic (5) |
| Likelihood | Remote (1) | 1 | 2 | 3 | 4 | 5 |
| | Unlikely (2) | 2 | 4 | 6 | 8 | 10 |
| | Possible (3) | 3 | 6 | 9 | 12 | 15 |
| | Likely (4) | 4 | 8 | 12 | 16 | 20 |
| | Almost certain (5) | 5 | 10 | 15 | 20 | 25 |

| Owner: | Ian Curryer - Corporate Director for Children & Families | | | | | Completed by: | Helen Jones -Director for Adult & Assessment | | | | | Date completed: | Aug 2012 | Review date: | Dec 2012 | |
|------------------|--|----|---|---|-----|------------------|--|----|---|---|---|--|----------|--------------|----------|--|
| RISK SUMMARY | | | | | | | | | | | | | | | | |
| Opening (Dec 11) | | | Previous (N/A) | | | Current (Aug 12) | | | Target (Mar 14) | | | Overall risk mitigation effectiveness (Adequate, Yet to secure improvement, Inadequate) | | | | |
| Threat level | | | Threat level | | | Threat level | | | Threat level | | | | | | | |
| | | | DoT ↓ Improving ↔ Stable ↑ Deteriorating | | | | | | DoT ↓ Improving ↔ Stable ↑ Deteriorating | | | | | | | |
| 3 | 4 | 12 | L | I | N/A | 3 | 4 | 12 | N/A | 3 | 3 | 9 | Adequate | | | |

| CONSTITUENT RISKS TO BE MANAGED | | | | | | | | | | | | | | |
|---------------------------------|---|------------------------------------|---|----|-------------------------------------|---|--|--------------------------------|---|----|---|--------------------------------|---|---|
| Risk Ref. | Constituent Risk Description | Opening Threat Level e.g. 2x4=8 | | | Previous Threat Level e.g. 2x4=8 | | | Latest Threat Level e.g. 2x4=8 | | | DoT ↓ Improving ↔ Stable ↑ Deteriorating | Target Threat Level e.g. 2x4=8 | | |
| | | | | | | | | | | | | | | |
| ASCR1 | Failure to engage Key Stakeholders | 3 | 4 | 12 | L | I | | 3 | 4 | 12 | | 2 | 4 | 8 |
| ASCR1.1 | Citizens don't play their part | 3 | 4 | 12 | L | I | | 3 | 4 | 12 | | 2 | 3 | 6 |
| ASCR1.2 | Failure to effectively collaborate with Health, partners, communities and citizens | 3 | 4 | 12 | L | I | | 3 | 4 | 12 | | 2 | 4 | 8 |
| ASCR1.3 | Tensions between Health & Social Care | 3 | 3 | 9 | L | I | | 3 | 3 | 9 | | 1 | 3 | 3 |
| ASCR2 | Failure to deliver savings/efficiencies over the course of the programme | 3 | 4 | 12 | L | I | | 3 | 4 | 12 | | 3 | 3 | 9 |
| ASC2.1 | Insufficient time & resources to achieve desired outcomes | 3 | 4 | 12 | L | I | | 3 | 4 | 12 | | 2 | 4 | 8 |
| ASC2.2 | Overconcentration on delivery model/process as opposed to savings | 3 | 4 | 12 | L | I | | 3 | 4 | 12 | | 2 | 3 | 6 |
| ASC2.3 | Overall financial savings not delivered | 3 | 4 | 12 | L | I | | 3 | 4 | 12 | | 2 | 3 | 6 |
| ASC2.4 | "Setting an Appropriate Budget" project does not deliver required savings | 4 | 4 | 16 | L | I | | 4 | 4 | 16 | | 3 | 3 | 9 |
| ASC2.5 | Cost of care services rise more quickly than predicted | 3 | 4 | 12 | L | I | | 3 | 4 | 12 | | 3 | 3 | 9 |
| ASCR3 | Insufficiently bold, decisive and responsive to changing demographics in relation to citizens | 3 | 3 | 9 | L | I | | 3 | 3 | 9 | | 2 | 3 | 6 |
| ASCR3.1 | Level of required change not delivered | 3 | 3 | 9 | L | I | | 3 | 3 | 9 | | 2 | 2 | 4 |
| ASCR3.2 | Poor quality information/data leading to poor quality decisions | 3 | 3 | 9 | L | I | | 3 | 3 | 9 | | 2 | 2 | 4 |
| ASCR3.3 | We lose our nerve, change course or take short-cuts | 3 | 3 | 9 | L | I | | 3 | 3 | 9 | | 2 | 3 | 6 |
| ASCR3.4 | Transformational change not achieved | 3 | 3 | 9 | L | I | | 3 | 3 | 9 | | 2 | 3 | 6 |
| ASCR3.5 | Insufficient investment in/focus on early intervention, prevention and/or building community capacity | 3 | 3 | 9 | L | I | | 3 | 3 | 9 | | 2 | 2 | 4 |
| ASCR4 | Failure to safeguard citizens throughout any change process | 2 | 5 | 10 | L | I | | 2 | 5 | 10 | | 2 | 3 | 6 |
| ASCR4.1 | Safeguarding issues wrongly attributed to changes in citizens care as part of the 'Big Ticket' transformation | 2 | 5 | 10 | L | I | | 2 | 5 | 10 | | 1 | 4 | 4 |
| ASCR4.2 | Savings cannot be achieved safely | 2 | 5 | 10 | L | I | | 2 | 5 | 10 | | 2 | 3 | 6 |
| ASCR5 | Failure to maintain and improve the quality of life for citizens | 3 | 3 | 9 | L | I | | 3 | 3 | 9 | | 2 | 3 | 6 |
| ASCR5.1 | Over concentration on making savings to the detriment of transformational change | 3 | 3 | 9 | L | I | | 3 | 3 | 9 | | 2 | 3 | 6 |
| ASCR5.2 | "People" not knowing the system or how to avoid getting into it | 3 | 3 | 9 | L | I | | 3 | 3 | 9 | | 2 | 2 | 4 |
| ASCR5.3 | Market deteriorates | 3 | 3 | 9 | L | I | | 3 | 3 | 9 | | 2 | 3 | 6 |
| ASCR5.4 | Reputational damage caused by change | 3 | 3 | 9 | L | I | | 3 | 3 | 9 | | 2 | 2 | 4 |
| ASCR5.5 | Programme as a whole has a significant detrimental impact on our most vulnerable citizens | 3 | 3 | 9 | L | I | | 3 | 3 | 9 | | 2 | 2 | 4 |

| EXISTING MANAGEMENT ACTIONS | | | | ADDITIONAL MANAGEMENT ACTIONS | | | ALL |
|-----------------------------|---|--------------------|---|--|--------------------|---------------------------------|-------------|
| Risk Ref. | Description of actions already in place to mitigate the identified risks | Person accountable | Adequacy of those actions (Adequate, Yet to secure improvement, Inadequate) | Description of additional actions to put in place (mandatory where current risk mitigation effectiveness is "Inadequate") | Person accountable | Date action due to be completed | Review date |
| ASCR1 | Failure to engage Key Stakeholders | | | | | | |
| ASCR1.1 | Communications Strategy to enable citizens to have realistic expectations via Transformation Steering Group | KB | Adequate | | | | |
| ASCR1.2 | Working with a range of existing representative forums. | CB | Adequate | | | | |
| ASCR1.2 | Ongoing consultation with Disability Involvement Group | KB | Adequate | | | | |
| ASCR1.2 & 1.3 | Joint Commissioning Group established. | CB | Adequate | | | | |
| ASCR1.2 & 1.3 | Clear governance provided through Health & Wellbeing Board | CB | Adequate | | | | |
| ASCR1.3 | Maintain open and communicative partnership | KJ & CB | Adequate | | | | |
| ASCR2 | Failure to deliver savings/efficiencies over the course of the programme | | | | | | |
| ASCR2.1 | Resource issues flagged up through Transformation Steering Group as appropriate | CB | Adequate | | | | |
| ASCR2.1 | Monitor resources available through Productive Notts | HJ | Adequate | | | | |
| ASCR2.2 | Build management process focus on RAG rating of yield and delivery to allow equal focus on both | KB | Adequate | | | | |
| ASCR2.3 | Weekly monitoring by Performance Management Group. | KB | Adequate | Development of alternative plans to be added to the agenda for Programme Steering Group/Programme Board on a regular basis | KB | Aug-12 | Nov-12 |
| ASCR2.4 | Plans in place to monitor Setting an Appropriate Budget savings achieved on a weekly basis. | TV | Adequate | Secure additional capacity to accelerate delivery of targeted savings | TV | Aug-12 | Nov-12 |
| ASCR2.4 | Process agreed with In House provider regarding methodology for releasing savings. | HJ | Adequate | | | | |

| EXISTING MANAGEMENT ACTIONS | | | | ADDITIONAL MANAGEMENT ACTIONS | | | ALL |
|-----------------------------|---|--------------------|---|---|--------------------|---------------------------------|-------------|
| Risk Ref. | Description of actions already in place to mitigate the identified risks | Person accountable | Adequacy of those actions (Adequate, Yet to secure improvement, Inadequate) | Description of additional actions to put in place (mandatory where current risk mitigation effectiveness is "Inadequate") | Person accountable | Date action due to be completed | Review date |
| ASCR2.5 | Day care framework being put in place. | SO | Adequate | | | | |
| ASCR2.5 | Home care framework in place. | SO | Adequate | | | | |
| ASCR2.5 | Market Plan in development. | KaB | | | | | |
| ASCR3 | Insufficiently bold, decisive and responsive to changing demand | | | | | | |
| ASCR3.1 & ASCR3.3 | Leadership to ensure we continue to be ambitious, ensure plans are in place and regularly reviewed and communicated | HJ & CB | Adequate | | | | |
| ASCR3.2 | Ensure analysis combines data with research and best practice elsewhere | CM | Adequate | | | | |
| ASCR3.4 | Ensure good working relationships develop at all levels and are encouraged to develop | HJ & CB | Adequate | | | | |
| ASCR3.5 | Strong emphasis on joint working with Health embedded. | HJ & CB | Adequate | | | | |
| ASCR3.5 | Application of Commissioning Pathway provides a structured approach to achieve transformation. | CM | Adequate | | | | |
| ASCR3.5 | Phase 1 plans in place and initial approval to Phase 1 Early Intervention projects received from councillors at programme board | KaB | Adequate | | | | |
| ASCR3.5 | Overall direction for Phase 2 Early Intervention Project agreed through programme board | KaB | Adequate | | | | |
| ASCR4 | Failure to safeguard citizens throughout any change process | | | | | | |
| ASCR4.1 | Programme focuses on investment in Early Intervention. | KaB | Adequate | | | | |
| ASCR4.2 | Engagement with Marketing & Communications and Councillors to heighten sensitivity and awareness as necessary | HJ & CB | Adequate | | | | |

| EXISTING MANAGEMENT ACTIONS | | | | ADDITIONAL MANAGEMENT ACTIONS | | | ALL |
|-----------------------------|--|--------------------|---|---|--------------------|---------------------------------|-------------|
| Risk Ref. | Description of actions already in place to mitigate the identified risks | Person accountable | Adequacy of those actions (Adequate, Yet to secure improvement, Inadequate) | Description of additional actions to put in place (mandatory where current risk mitigation effectiveness is "Inadequate") | Person accountable | Date action due to be completed | Review date |
| ASCR4.2 | Use Programme Board to flag up issues and report to DASS | HJ & CB | Adequate | | | | |
| ASCR5 | Failure to maintain quality of life for citizens | | | | | | |
| ASCR5.1 | Build management process focus on RAG rating of delivery and yield to allow equal focus on both | KB | Adequate | | | | |
| ASCR5.2 | Online Brokerage Service to be considered as part of stage 2 Early Intervention | KaB | Adequate | | | | |
| ASCR5.3 | Market Plan in development | KaB | Adequate | | | | |
| ASCR5.4 | Leadership to ensure we continue to be ambitious, ensure plans are in place and regularly reviewed and communicated | HJ & CB | Adequate | | | | |
| ASCR5.5 | Continued dialogue with Providers | KaB & SO | Adequate | | | | |
| ASCR5.5 | Individual risk assessment built into Setting an Appropriate Budget process to ensure changes do not result in risk of harm to self or others. | TV | Adequate | | | | |
| ASCR5.5 | Citizen satisfaction to be monitored for worsening feedback via Performance Steering Group | SO | Adequate | Include feedback from Citizen First/Have Your Say | SO | Mar-13 | Oct-12 |



SR29 - Failure to establish an effective Public Health function (promote/protect health, tackle health inequality, promote social justice and safer communities) with adverse impact on the citizen wellbeing and a failure to deliver the authority's statutory responsibilities under the 2012 Health and Social Care Act.

This strategic risk is scoped around delivery of Public Health services ensuring progress against the Nottingham Plan Targets for health, effective management and mitigation of Health protection risks, Public Health advice to support NHS Commissioning and ensure that NCC fulfils its new statutory duties for Public Health. A key component of the risks is managing the transition of the Public Health directorate, resources and functions to Nottingham City Council from the NHS by 1 April 2013. There are opportunities to secure benefits from the integration of Public Health, for example, more effective policy, shared objectives, more effective working/use of resources.

| | | Impact | | | | |
|------------|--------------------|----------------|-----------|--------------|-----------|------------------|
| | | Negligible (1) | Minor (2) | Moderate (3) | Major (4) | Catastrophic (5) |
| Likelihood | Remote (1) | 1 | 2 | 3 | 4 | 5 |
| | Unlikely (2) | 2 | 4 | 6 | 8 | 10 |
| | Possible (3) | 3 | 6 | 9 | 12 | 15 |
| | Likely (4) | 4 | 8 | 12 | 16 | 20 |
| | Almost certain (5) | 5 | 10 | 15 | 20 | 25 |

| Owner: | I. Curryer CD-Ch & Fam | | Completed by: | A. Hall Dir Health & Welbeing Transition | | Date completed: | Sep 2012 | | Review date: | | | | | |
|-----------------------|------------------------|----|-----------------------|--|---|-----------------------|----------|---|-----------------------|---|--|---|---|---|
| RISK SUMMARY | | | | | | | | | | | | | | |
| Opening (Dec 10) | | | Previous (N/A) | | | Current (Sept 2012) | | | Target (April 13) | | Overall risk mitigation effectiveness (Adequate, Yet to secure improvement, Inadequate) | | | |
| Threat level (Lxl=??) | | | Threat level (Lxl=??) | | DoT ↓ Improving ↔ Stable ↑ Deteriorating | Threat level (Lxl=??) | | DoT ↓ Improving ↔ Stable ↑ Deteriorating | Threat level (Lxl=??) | | | | | |
| 3 | 4 | 12 | 3 | 4 | 12 | ↔ | 3 | 4 | 12 | ↓ | | 3 | 3 | 9 |

RISKS TO BE MANAGED

| Risk Ref. | Risk Description (in the format cause, risk & impact) | Date identified | Identified by | Opening Threat Level e.g. 2x4=8 | | | Previous Threat Level e.g. 2x4=8 | | | Latest Threat Level e.g. 2x4=8 | | | DoT (↓ Improving ↔ Stable ↑ Deteriorating) | Target Threat Level e.g. 2x4=8 | | | Proposed Mgt Action | Adequacy mgt actions (Adequate, Yet to secure improvement, Inadequate) | Status (Live, Closed) |
|-----------|---|-----------------|---|------------------------------------|---|----|-------------------------------------|---|----|-----------------------------------|---|----|---|-----------------------------------|---|---|---------------------|---|--------------------------|
| | | | | | | | | | | | | | | | | | | | |
| CP1.1 | Finance - Formula for budget allocation moves quickly to target requiring NCC to reduce scale of Public Health function | 12/07/12 | Project Team | 3 | 4 | 12 | 3 | 4 | 12 | 3 | 3 | 9 | ↓ | 2 | 3 | 6 | Treat | Adequate | Live |
| CP1.2 | Excess treatment costs related to Public Health research, where the responsibility for commissioning will transfer to the Local Authority in April 2013. The risk is that excess treatment costs will not be funded by the Local Authority. The impact would be that Public Health interventional research could not take place within the Public Health services commissioned by the Local Authority. This would impact on the generation of future Public Health evidence in Nottingham for the local, national and international evidence base. This is a reputational risk for the Local Authority. | 12.6.12 | Rachel Illingworth Head of Research and Evaluation | 3 | 4 | 12 | 3 | 4 | 12 | 3 | 4 | 12 | ↔ | 2 | 4 | 8 | Treat | Yet to secure imp | Live |
| CP2 | Leadership & Governance - Vision for PH and role of PH within NCC - difficulty in gaining agreement of role of PH in NCC due to differing views and completing demands for the future of the function | 12/07/12 | Project Team | 3 | 4 | 12 | 2 | 4 | 8 | 2 | 4 | 8 | ↔ | 2 | 3 | 6 | Treat | Adequate | Live |
| CP3 | Communications & Stakeholder Engagement - Risk of damaging future partner relationships between NCC, NHS, providers and other stakeholders if PH transition is not delivered smoothly and positively | 12/07/12 | Project Team | 3 | 4 | 12 | 3 | 4 | 12 | 3 | 4 | 12 | ↔ | 2 | 4 | 8 | Treat | Yet to secure imp | Live |
| WS1 | Contracts & Commissioning - Unable to ensure continuity of service if agreement cannot be reached to re-procure tendered contracts for some services ending 31st March 2013. | 12/07/12 | Project Team | 3 | 4 | 12 | 3 | 4 | 12 | 2 | 4 | 8 | ↓ | 1 | 3 | 3 | Treat | Adequate | Live |
| WS2 | HR & Staff transfer - Loss of critical staff and PH capacity due to lack of resolution of national terms and conditions. | 12/07/12 | Project Team | 4 | 4 | 16 | 4 | 4 | 16 | 3 | 4 | 12 | ↓ | 2 | 4 | 8 | Treat | Adequate | Live |
| WS3 | Information Governance/ICT - Unable to ensure access for PH function to information within NHS necessary to fulfil statutory role. Current access levels will not be adequate | 12/07/12 | Project Team | 3 | 3 | 9 | 3 | 3 | 9 | 3 | 3 | 9 | ↔ | 1 | 3 | 3 | Treat | Yet to secure imp | Live |
| WS4 | Core Offer - Unable to agree a Core Offer with CCG | 12/07/12 | Project Team | 2 | 4 | 8 | 2 | 4 | 8 | 3 | 4 | 12 | ↑ | 1 | 4 | 4 | Treat | Yet to secure imp | Live |

RISKS TO BE MANAGED

| Risk Ref. | Risk Description (in the format cause, risk & impact) | Date identified | Identified by | Opening Threat Level e.g. 2x4=8 | | | Previous Threat Level e.g. 2x4=8 | | | Latest Threat Level e.g. 2x4=8 | | | DoT (↓ Improving ↔ Stable ↑ Deteriorating) | Target Threat Level e.g. 2x4=8 | | | Proposed Mgt Action | Adequacy mgt actions (Adequate, Yet to secure improvement, Inadequate) | Status (Live, Closed) |
|-----------|---|-----------------|---------------|------------------------------------|---|----|-------------------------------------|---|----|-----------------------------------|---|----|---|-----------------------------------|---|---|---------------------|---|--------------------------|
| | | | | | | | | | | | | | | | | | | | |
| WS5 | Health Protection - Failure to maintain Health Protection function due to separation of different streams of Health Protection work into different organisations | 12/07/12 | Project Team | 3 | 5 | 15 | 3 | 5 | 15 | 3 | 5 | 15 | ↔ | 2 | 4 | 8 | Treat | Yet to secure imp | Live |
| WS6 | Healthwatch - Insufficient funding to commission Healthwatch successfully | 12/07/12 | Project Team | 4 | 4 | 16 | 4 | 4 | 16 | 3 | 4 | 12 | ↓ | 1 | 4 | 4 | Treat | Adequate | Live |
| WS7 | Health & Wellbeing Board/Strategy - Wider transition process puts pressure on partner relationships making it difficult to agree HWBS priorities prior to further Board development | 12/07/12 | Project Team | 3 | 4 | 12 | 3 | 4 | 12 | 3 | 3 | 9 | ↓ | 1 | 3 | 3 | Treat | Adequate | Live |

| EXISTING MANAGEMENT ACTIONS | | | | | ADDITIONAL MANAGEMENT ACTIONS | | | ALL |
|-----------------------------|------------|--|--------------------|--|--|--------------------|---------------------------------|-------------|
| Risk Ref. | Issue Ref. | Description of actions already in place to mitigate the identified risks | Person accountable | Update 18.09.2012 | Description of additional actions put in place (mandatory where current risk mitigation effectiveness is "Inadequate") | Person accountable | Date action due to be completed | Review date |
| CP1.1 | | Finance - 1. Ensure all returns to DH are as accurate as possible based on current spend. 2. Ensure NCC has flexibility to give notice on contracts. 3. Maximise benefits of links with other corporate departments and teams to ensure PH work is quickly embedded into the LA core business. | AC | 1. Work agreed to establish clear financial baseline for PH to support identification and mitigation of financial risks on both sides. See TOG Agenda 09.08.12. external support procured 2. Commissioning report developed for EBCSC - see TOG Agenda 09.08.12. Report submitted for EBCSC decision 19.09.12 | | | | |
| CP1.2 | | Issue already raised with Transition Implementation Group (TIG) by Teresa Cope, Director of Contracting, Quality and Delivery at the CCG. Interim DPH and Deputy DPH briefed on the issue. Issue of public health excess treatment costs raised at Excess Treatment Cost workshop led by Trudi Simmons, Department of Health Lead on 9.8.12. Trudi stated that this issue is being taken forward nationally. Discussions taking place with PHE and NHS CB. No national guidance or framework yet agreed. | RI | Issue added to risk register and being kept under review as national guidance develops. | | Rachel Illingworth | Ongoing | 31.10.12 |
| CP2 | | Vision - Ensure a successful move to Loxley House, continue PH forums, DPH role and successful recruitment, HWBB, implement a successful Comms plan, organise final dialogue/workshop before December. Enhance reputation regionally and nationally as there is a perception that transition is behind in Nottingham. Make sure we are present at transition meetings and that returns and paperwork are completed and NCC and NHS colleagues speak positively externally about the transition. | LL& AH | Move to Loxley House delivered. Comms work in place to support embedding of the function. New Interim DPH in post and working with the management team. Development of Business Plan underway | | | | |
| CP3 | | Communications & Stakeholder Engagement - Draft Communications Plan in place (see attached). | RS | Plan being delivered through initial comms activity supporting PH relocation. | Public Health comms plan 28 June.docx | | | |
| WS1 | | Contracts and Commissioning - Conduct due diligence and develop paper for EBCSC (September 12) to allow for procurement process to take place. Ensure portfolio holder is fully briefed on risks of not continuing service offer. | AC | EBCSC Paper developed see TOG Agenda 09.08.12. Final paper submitted for decision 19.09.12 Brief for external support for due diligence process developed - see TOG Agenda 09.08.12 External support secured against brief | | | | |

| EXISTING MANAGEMENT ACTIONS | | | | | ADDITIONAL MANAGEMENT ACTIONS | | | ALL |
|-----------------------------|------------|--|--------------------|---|--|--------------------|---------------------------------|-------------|
| Risk Ref. | Issue Ref. | Description of actions already in place to mitigate the identified risks | Person accountable | Update 18.09.2012 | Description of additional actions put in place (mandatory where current risk mitigation effectiveness is "Inadequate") | Person accountable | Date action due to be completed | Review date |
| WS2 | | HR & Staff Transfer - PCT and LA HR departments to work together to implement the national HR Concordat to ensure staff transferring from the NHS continue to have similar terms and conditions under TUPE regulations. Actions around reputation to encourage strong candidates to the role of DPH. | SW & LR | ACOS Report developed proposing consultation re staff transfer - see TOG Agenda 09.08.12 | | | | |
| WS3 | | Information Governance/ICT - Project Team to ensure project is on schedule. | JR | Project brief developed covering ICT and info governance requirements | | | | |
| WS4 | | Core Offer - Ensure a clear process is in place for negotiation. | AC | Updated MOU developed for discussion between NCC and CCG | | | | |
| WS5 | | Health Protection - Existing structures and capacity for Emergency Planning and Health Protection including I + V to be maintained and kept under review in line with need to maintain resilience and response. Preparations for the new structures will be planned for as the Local Office of the NHSCB is established and PHE. | CJ | National guidance published from DH 'Health Protection in Local Government' 31 August 2012; Regional Immunisation & screening model testing workshop being held on 12.10.12 – Lise Llewellyn and Caroline Jordan attending; DH letter 23 August 2012 re. future direction of immunisation and screening services; DH Emergency Preparedness Resilience and Response workshop being held on 8.10.12 - Caroline Jordan attending; DH Gateway letter 17933 2 August 2012 + 25 July 2012 DH Health EPRR response from April 2013 re. roles in health sector, model concept of operations & Local Health Resilience Partnership (LHRP) model membership and terms of reference Regional exercise of new LHRPs on 12.12.12 - Caroline Jordan attending; Regional Health Protection Transition Group meeting on 17.10.12 - Caroline Jordan attending; | | | | |
| WS6 | | Healthwatch - Options developed and costed. Efficiencies predicted from ICAS contract to make up some of the shortfall. NCC identify core resources to fund Healthwatch. | AH & CC | P/F Holder briefed and joint approach with County Council agreed to deliver ICAS giving best chance of effectiveness to cover shortfall in ICAS contract. Negotiations with provider undertaken and contract price agreed. Healthwatch tender specification under development based on model developed | | | | |
| WS7 | | HWBB - LGA development programme. | DC & AH | HWB Strategy draft structure paper and priority areas agreed at 29.08.12 meeting. 03.09.12 specific priorities identified at HWB development session LGA development programme agreed | | | | |

| Activity | Status | Officer | Aug | Sept | Oct | Nov | Dec | Jan | Feb | Mar | Q1 Apr - Jun | Q2 Jul - Sept | Q3 Oct - Dec | Q4 Jan - Mar |
|----------|--------|---------|-----|------|-----|-----|-----|-----|-----|-----|--------------------|---------------------|--------------------|--------------------|
|----------|--------|---------|-----|------|-----|-----|-----|-----|-----|-----|--------------------|---------------------|--------------------|--------------------|

Inclusion of consideration of opportunity along risk in formal reporting.

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|--|-----------|----|---|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|
| - Develop risk consideration as part of the scheme of delegations | Completed | SB | | | ● | | | | | | | | | |
| - Incorporate consideration of risk as part of the scheme of delegations | On track | SB | | | | ● | ----- | ----- | ----- | ----- | ● | | | |
| - Work with report owners to further develop assessment of risks and opportunities as part of Exec. Board reports key decisions. | Ongoing | SB | ● | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- |
| - Make proposals for incorporating RM in Strategic Choices/IBD | On track | SB | | ● | ----- | ----- | ● | | | | | | | |
| - Develop How To guide on using RM in options appraisal | SB | SB | | | | | | | ● | ----- | ● | | | |

SRR Quarterly Updates

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|-----------------|---------|----|--|--|-----|-----|-----|-----|-----|-----|-----|--|--|--|
| Collection | Ongoing | SB | | | ●Q2 | | | ●Q3 | | ●Q4 | | | | |
| CLT reporting | Ongoing | SB | | | | ●Q2 | | ●Q3 | | | ●Q4 | | | |
| Audit Committee | Ongoing | SB | | | | ●Q2 | | | ●Q3 | | ●Q4 | | | |
| Executive Board | Ongoing | SB | | | | | ●Q2 | | | ●Q3 | ●Q4 | | | |

Develop programme of work with targeted services to establish examples of good practice which can be propagated raising profile of and embedding risk management;

| | | | | | | | | | | | | | | |
|--|----------|----------------|--|---|---|-------|---|---|---|--|--|--|--|--|
| - Develop proposal with Zurich for specific work within Neighbourhood Services which considers risk appetite/effectiveness | On track | SB | | ● | | | | | | | | | | |
| - Develop supporting materials questionnaire and undertake fieldwork | | SB & Zurich | | | ● | ----- | ● | | | | | | | |
| - Prepare report and present findings NS Director/ Development Leadership Team | | SB & Zurich | | | | | | ● | | | | | | |
| - Evaluate effectiveness of work / capture learning provide feedback to CLT with a view to wider application | | SB & Zurich | | | | | | | ● | | | | | |
| - Proposal to DLTs for selection of area | TBA | Dept Reps & SB | | | | | | | | | | | | |
| - Work with selected services to develop risk management approach | TBA | Dept Reps | | | | | | | | | | | | |
| - Feedback to DLTs learning, improvements, next steps | TBA | Dept Reps & SB | | | | | | | | | | | | |

Use of Covalent to better support alignment of risks to business objectives, track milestones and mitigation effectiveness and including early warning indicators;

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|------------------------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| - See Covalent implementation plan | | | | | | | | | | | | | | |
|------------------------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|

Development of combined Risk Management intranet Portal including business RM, Health & Safety, Business Continuity/Emergency Planning and Operational Insurance Risk;

