

**Report of the Deputy Chief Executive & Corporate Director for Resources
Strategic Risk Register (SRR) – Q4 2012/13 Update**

1. REPORT PURPOSE

- 1.1 This is the Q4 2012/13 (as at 31 March 2013) 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 the 15 February meeting Audit Committee selected two strategic risks for more detailed scrutiny *SR12a - Failure to provide the best educational outcome for children and opportunities for young people* and *SR26 - Failure to support Nottingham citizens and communities in minimising the negative impact of welfare changes*. This report presents information to enable that scrutiny to take place.

2. RECOMMENDATIONS

Audit Committee is recommended to:

- 2.1 Consider the strategic risks *SR12a - Failure to provide the best educational outcome for children and opportunities for young people* and *SR26 - Failure to support Nottingham citizens and communities in minimising the negative impact of welfare changes*, specifically risks around the work of City Council Welfare Rights Service and other advice agencies. See **Appendix 1** and **3** for more detailed review following selection by Audit Committee at the 15 February 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 Q4 2012/13 (Table 1 and **Appendix 4**).
- 2.3 Note the results of the review of the SRR by CLT.
- 2.5 Select one or more strategic risks from **Appendix 4** for specific scrutiny as part of the SRR Q1 2013/14 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.

3. REASONS FOR CONSIDERATION

- 3.1 The Audit Committee's 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. This includes ensuring that 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 DoT. This rounded assessment gives a clearer picture of progress in reducing the risk threat level and is summarised in Table 1.

4.2 Several SRR risks have been assessed by risk owners as improving, stable or at target. **Ten** risks are red rated, reflecting a range of delivery pressures and challenges the Council has to respond to.

4.3 For the **17** strategic risks within the SRR:

- **One** risk shows a reduced threat level
- **Three** strategic risks are at target
- A further **three** strategic risks show an improved DoT
- However, *SR12a - Failure to provide the best educational outcome for children and young people* shows a deteriorating DoT

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 Q4 2012/13			
SR No.	Strategic Risk Description	Threat Level	DoT (Q3–Q4)
Red rated strategic risks (10)			
19	Failure to deliver Council Plan priorities (under review)	16	↔
26	Failure to support Nottingham citizens and communities in minimising the negative impact of welfare changes	16	↔
6	Failure to safeguard vulnerable children	15	↓
12a	Failure to provide the best educational outcome for children and young people	12	↑
11	Failure to address medium term financial pressures in a sustainable way	12	↔
14	Failure to deliver culture change (under review)	12	↔
25a	Failure to embed a corporate approach to commissioning, informed by citizen need, which drives delivery of improved services at significantly lower cost (updated)	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	↔
7	a) Failure to reduce levels of crime and b) anti-social behaviour	12	↓
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	↓

TABLE 1: Risk Threat Level & DoT in rank order at Q4 2012/13 (continued)			
SR No.	Strategic Risk Description	Threat Level	DoT (Q3–Q4)
Amber rated strategic risks (7)			
3	Failure to mitigate the impact of the economic climate on Nottingham City and its citizens	9 At target	↔
10	Failure to maintain good standards of governance	9	↔
24	Failure to ensure effective systems are in place to manage health and safety risks	9	↔
5a	Failure to safeguard vulnerable adults	8	↔
16a	Failure of partners including the City Council to work effectively together	8 At target	↔
2a	Of the reputation of the City	6 At target	↔
8a	Failure to implement and embed effective information management structures, policies, procedures, processes	9 to 6	↓
Green rated strategic risks - There are no green rated risks at Q4.			

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

Appendix 3 identifies individual risk owners, detailed risk threat level assessments between June 2012 (Q1 2012/13) and March 2013 (Q4 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 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: Changes to the structure of Children and Families Corporate Directorate and the Government's new assessment framework for school improvement services have informed an update of the RMAP (**Appendix 1**). Arising from this work some new constituent risks have been identified.

There is a wide evidence base that having motivated and educated citizens has far reaching and long lasting benefits for individuals and their communities. This risk therefore has connections to a number of other strategic risks and priorities for the Council underlining the significance for the effective management of this risk.

From May, the Government will be implementing from May an inspection of local authority (LA) school improvement services. This will place a requirement on LAs to demonstrate their impact on the education outcomes and quality of learning provision for all (includes academies, free schools etc) state funded educational establishments. This new duty is not accompanied by any new statutory powers over non LA schools. An example of one of the assessment criteria for placing a LA in scope for inspection is evidence that councillors and senior colleagues have an ambitious vision for improving all schools articulated through public documents.

Effective management of the objective and the associated risks requires a strategic and joined up approach that looks at a citizen's journey from child to adulthood and the impact that education and learning has on their quality of life and long term economic wellbeing. This requires wider engagement of stakeholders including educational providers, training providers, and also employers and wider services. It is important that the City Council and its partners view its children and young people as one of its greatest assets to build the future city and commit to ensure that every young person is on a pathway to success.

Since the last quarter a number of constituent risks show an improvement in threat level since Q3 reporting:

- School Improvement Services become uneconomic and academies elect to opt out of the offer (12 to 8)
- Failure to coordinate timely admissions to ensure that children and young people achieve (9 to 6)
- Lack of financial capital to address shortage of school places in areas of significant demographic growth (25 to 6)

However there are a number serious and significant red assessed risks including:

- Lack of an agreed Nottingham Learning and Skills Strategy raises a risk of a failure to ensure that qualifications offered by Further Education colleges and schools leads to local employment opportunities for Nottingham City young people (9 to 12)
- External measures/funding for different educational sectors override education outcome of the young child and person (25)
- Insufficient capacity for early intervention and support to prevent schools entering Ofsted category or hitting Department for Education triggers for intervention (8 to 20)
- Council fails to demonstrate it is fit for purpose to bring about the improvements in all publicly funded schools and learning settings leading to inspection and the possibility of external intervention by private providers
- Devaluation of vocational qualifications encourages schools to move away from technical and vocational courses which would be better aligned with the economic needs of the city (9 to 25)

Further work is required across the Council and with partners to ensure delivery on existing and proposed mitigations and to find additional actions for outstanding risks. Reflecting on the significance of the risk and the requirement for strategic and cross partner working, the Chief Executive will now be the risk owner supported by the Corporate Director for Children and Families.

- 4.5.2 SR25 - Failure to deliver improved outcomes through the implementation and embedding of the Commissioning Framework within the directorate, the council and with partners: The third phase of the Commissioning programme is now in progress focussing on the wider embedding of commissioning across the Council. SR25 has been re-scoped around this new phase with the risk being described as the *Failure to embed a corporate approach to commissioning, informed by citizen need, which drives delivery of improved services at significantly lower cost.*

The three significant (red) constituent risks are:

- Inconsistent and/or only partial implementation of a commissioning approach (16/8)
- Lack of agreed strategic vision for commissioning (15/5)
- Limited understanding, knowledge or skills in relation to commissioning (12/8)

CLT agreed that the re-scoped risk should be added to the SRR in place of SR25. The detailed RMAP is included for review at **Appendix 2**.

- 4.5.3 SR26 - Failure to support Nottingham citizens and communities in minimising the negative impact of welfare changes. The Council has made significant progress in developing and finalising local policies required as a result of the Government's welfare changes. This includes the development of the local Council Tax Support Scheme (CTSS) and of the Discretionary Emergency Hardship Scheme. The final policies developed for both seeks to minimise impact on citizens as far as possible, taking into account affordability for the Council and the views of citizens, partners, the advice sector and other key stakeholders.

Despite the above and the work with partners to raise awareness and prepare our citizens and communities for the welfare changes, significant welfare changes will come into effect in April (Housing Benefit changes and the new CTSS) will inevitably impact on many of our citizens. Consideration is being to assess and evaluate the impact of these changes on our communities over the next few months and understand what it may mean for the Council and its partners (see RMAP **Appendix 3**).

- 4.5.4 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 (Health Protection, Health Improvement and Health Care Public Health) to the council from April 2013 represents a significant extension to local government responsibilities.

Progress continues in terms of managing the risks and significant improvement has been made in reducing the threat level for a number of the constituent risks since the risk was last reported:

- Risk of effecting the staff transfer successfully (16 to 8)
- Risk of being able to agree the core offer with the Clinical Commissioning Group (CCG) (8 to 4)
- Risk to funding for the Healthwatch programme (8 to 4)
- Establishment of the Health and Wellbeing Board and Strategy (6 to 3)

Despite these improvements, a number of significant red assessed risks remain:

- Finance and contract transfer risks have increased from 8 to 12. NCC was only notified in March of additional costs within NHS contracts. Discussions are underway with the CCG to mitigate the impact of these costs on the 2013/14 starting budget aimed at reducing the level of risk
- To access NHS data the authority must be N3 accredited (compliant with NHS information governance requirements). N3 accreditation has been secured based on the delivery of an action plan during 2013/14 targeting NCC systems requiring improvement. A corporate focus on this work will need to be maintained
- A new system of Health Protection is now becoming established which sees staff matched to posts as part of the Public Health service or the Commissioning Board. Although this has reduced the level of risk, risks remain in maintaining Public Protection work streams over different organisations with potential for confusion, misalignment of objectives/resources and further changes in personnel (15 to 12)

CLT agreed in February 2013 proposals for alignment and integration of Public Health and complementary functions and adoption of revised ways of working which are now being implemented. Overall the threat level remains at red 12, but with an improving DoT.

5. FUTURE AUDIT COMMITTEE RISK REVIEWS

- 5.1 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 4** for more detailed examination in the SRR Q1 2013/14 Update.

6. FINANCIAL IMPLICATIONS

- 6.1 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.

7. RISK MANAGEMENT ISSUES

- 7.1 These are dealt with throughout the report.

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

- 8.1 Quarter 4 2012/13 Strategic Risk Management Action Plans

9. PUBLISHED DOCUMENTS REFERED TO IN COMPILING THIS REPORT

9.1 SRR Q3 Update reported to Audit Committee 15 February 2013

APPENDICIES

Appendix	Description
1	<i>SR12a - Failure to provide the best educational outcome for children and opportunities for young people (selected for review by Audit Committee)</i>
2	<i>SR25 - Failure to deliver improved outcomes through the implementation and embedding of the Commissioning Framework within the directorate, the council and with partners (updated risk)</i>
3	<i>SR26 - Failure to support Nottingham citizens and communities in minimising the negative impact of welfare changes (selected for review by Audit Committee)</i>
4	Nottingham City Council Strategic Risk Register - Report Summary

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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.

This risk is scoped around ensuring that the match and quality of educational outcomes meet the wider economic and community needs of the city. Changes in Government policy regarding inspection of LA school improvement services, significant structural changes within the Children and Families Corporate Directorate and the increasing autonomy of schools (particularly acadamisation) are reflected in the constituent risks. This is a significant risk whose effective management has wide reaching implications for other priorities and risks for the city including crime, health, employment etc.

		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 Chief Executive					Completed by:	C. Brudenell Interim CD-Ch & Fam					Date completed:	Mar 2013	Next review:	Jun 2013
RISK SUMMARY:															
Opening (Dec 10)			Previous (Oct 12)				Current (Jan 12)				Target (Apr 15)			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	↑	2	4	8		
														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		
1.0	Failure to ensure improved educational outcomes for children (particularly key stage 4)	3	4	12	3	4	12	3	4	12	↔	2	3	6
1.01a <i>split Q2 2011/12</i>	Insufficient capacity for early intervention and support to prevent schools entering ofsted category or hitting DFE triggers for intervention	4	3	12	2	4	8	5	4	20	↑	2	4	8
1.01b <i>split Q2</i>	Acadamisation of schools diminishes the LAs ability and statutory responsibility to support and intervene	4	3	12	4	3	12	4	3	12	↔	4	3	12
1.02 <i>Q2 2011/12</i>	School Improvement Services become uneconomic and school academies choose to opt out of the traded offer	4	4	16	3	4	12	2	4	8	↓	3	2	6
1.03	LA is unable to maintain good relations with individual schools/school associations and academies (closed Q4 2012/13)	2	3	6	2	3	6	2	3	6	↔	2	3	6
1.04 <i>Q3 2011/12</i>	Failure to improve attendance and associated levels of anti-social behaviour	3	4	12	3	4	12	3	4	12	↔	2	5	10
1.05 <i>Q2 2011/12</i>	A lack of high quality governors to ensure good and outstanding leadership in schools and learning settings impacting attainment/learning outcomes	2	4	8	2	4	8	4	4	16	↑	2	4	8
1.06	Failure to manage the LA responsibility for monitoring, challenge and intervention in schools in the face of budget reductions and capacity issues	4	4	16	2	4	8	2	4	8	↓	2	3	6
1.07 <i>Q2 2011/12</i>	Internal council processes are insufficiently flexible or agile enough to enable timely intervention to respond to schools in category, or causing concern	3	4	12	2	4	8	4	4	16	↑	1	4	4
1.08 <i>Q3 2010/11</i>	Lack of stable placements in the city for children in care leading to a risk of poor attainment particularly at secondary level, due to knock on education placement changes	3	4	12	1	3	3	4	4	16	↑	1	3	3
1.09 <i>Q2 2011/12</i>	Failure to coordinate timely admissions to ensure that children and young people achieve	3	3	9	3	3	9	2	3	6	↓	1	3	3
1.10 <i>Q2 2011/12</i>	Lack of financial capital to address shortage of school places in areas of significant demographic growth	5	5	25	5	5	25	2	3	6	↓	2	4	8
1.11 <i>Q2 2011/12</i>	Ongoing and large scale changes in structures and personnel results in a lack of clarity/accountability in terms of meeting the 200 statutory and other regulatory duties related to children and young people	3	4	12	3	4	12	3	4	12	↑	1	4	4
2.0	Failure to ensure improved educational outcomes for young people through further education.	3	3	9	3	3	9	4	4	16	↑	2	2	4

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		
2.01	Young people from Nottingham not having the relevant skills or science qualifications to benefit from the jobs created within Nottingham, a designated science and technology City.	4	3	12	4	3	12	4	3	12	↔	2	3	6
2.02 Q4 2012/13	External measures/funding for different educational sectors override education outcome of the young child and person	5	5	25	L	I		5	5	25		3	3	9
3.0	Failure to ensure improved educational outcomes for young people through vocational qualifications.	3	3	9	3	3	9	3	4	12	↑	2	2	4
3.01	Devaluation of vocational qualifications encourages schools to move away from technical and vocational courses which would be better aligned with the economic needs of the city	3	4	12	3	3	9	5	5	25	↑	2	3	6
3.02 Q1 2011-12	Attainment is reduced in 2013/14 as a result of the removal of accreditation of various vocational qualifications at that time.	5	3	15	5	2	10	5	2	10	↔	5	2	10
3.03	Move away from Programme Led Opportunities reduced opportunities for young people to undertake apprenticeships. (closed Q4 2012/13)	4	3	12	2	3	6	2	3	6	↔	2	3	6
4	Failure to match education outcomes with the economic need of the City.	3	3	9	3	3	9	4	3	12	↑	2	3	6
4.01 Q3 2010-11	Lack of an agreed Nottingham Learning and Skills strategy raises a risk of a failure to ensure that qualifications offered by FE colleges and schools leads to local employment opportunities for Nottingham City young people	3	3	9	3	3	9	4	3	12	↑	2	3	6
4.02 Q4 2012-13	Council structure not set up to respond to this (closed Q4 2012/13 see 2.02)	4	3	12	L	I		4	3	12	↓	2	3	6
4.03 Q4 2012-13	Change in status of schools to academy enables freedoms in curriculum that are not matched to City needs	4	3	12	4	3	12	4	3	12	↔	2	3	6
4.04 Q4 2012-13	Attainment measures key drivers for schools (5 A to C in English and Maths) not the economic need of City (closed Q4 2012/13 see 2.02)	4	3	12	L	I		4	3	12	↓	2	3	6
4.05 Q4 2012/13	Absence of statutory requirement to offer external careers advice/guidance results in a risk that children do not have access to independent advice that support improved career choices	4	3	12	L	I		4	3	12		2	4	8
5.0	New LA school improvement inspection framework	L	I		L	I		L	I			L	I	
5.01 Q4 2012/13	Council fails to demonstrate it is fit for purpose to bring about the improvements in all publicly funded schools and learning settings leading to inspection and the possibility of external intervention by private providers	L	I		L	I		L	I			L	I	

Risk Ref.	Constituent Risk Description	Risk Mitigation Effectiveness	Responsibility for action Owner	Support	Completion date/ review cycle
MANAGEMENT ACTIONS:					
1.0	Failure to deliver improved educational outcomes for children (particularly key stage 4)				
1.01a	LA direct intervention limited to schools in categories. School improvement services available through the traded services route.	Adequate	GE		At Target
1.01b	Ofsted intervening in Academies and discussing issues with LA Develop formal partnerships. School improvement services available through the traded services route.	Adequate	GE		At Target
1.01a 1.01b 1.02	Building quality LA traded school improvement services and quality commissioned services. Formalise partnerships and relationships in a mixed economy of educational providers. SLAs being created for all internal services to schools. Nottingham Learning Trust established. Strategic integrated approach to traded services and academies being developed. Internal services branded under Educational Services Nottingham with an education cantered support ethos.	Yet to secure improvement	GE		April 2013
1.03	Ensure regular meetings and effective communications with Head Teachers. Develop formal partnerships with learning settings.	Adequate	CB	AC	At Target
1.04	'Turn every stone' approach – reviewing all current strategies, data use, trend analysis, local target setting, partnerships, guidance to colleagues/callers on challenging non-attendance. Ensuring clarity of approach with both families and schools – 'twin track'. Defining support and challenge strategy for schools. Embedding attendance protocol. Improving EWS case targeting and allocation. Improving quality of EWS case outcomes. Focusing on children, families and schools which have the greatest impact on levels of Nottingham's attendance. Planned use of weeks of action, Community Protection and vanguard team. Task and finish programme designed to ensure all relevant services are engaged to improve attendance. Develop strategic plan for corporate response to attendance.	Adequate	TO		April 2013
1.05	LA offered place on selection panel in LA schools	Adequate	GE		At Target
1.05	Support for Governors through Governors Headship package.	Inadequate	AC		At Target
1.05	Introduce criteria based development and training to ensure skilled, high quality governors.	Yet to secure improvement	AC		TBC
1.06	Retain key staff and recruit quality school improvement support, enable access to technical reports via consulting route.	Adequate	GE		At Target
1.07	Develop protocol to commission quality services within Council rules. Seeking approvals that enable timely response and intervention.	Inadequate	GE		April 2013

Risk Ref.	Constituent Risk Description	Risk Mitigation Effectiveness	Responsibility for action		Completion date/ review cycle
			Owner	Support	
MANAGEMENT ACTIONS:					
1.08	Continued implementation of strategy to improve educational outcomes for Looked After Children delivered through the Virtual Head (Separate risk management action plan available.)	Inadequate	GE	LB	At Target
1.08	Research into statistical neighbour cities where the attainment of their looked		GE	LB	May 2013
1.09	New processes have seen major improvements including online admissions, refocusing of team resources and increased capacity	Adequate	GE	NL	April 2013
1.10	Establishment of Strategic Place Planning forum begun - opportunity to engage all school providers (inc academies/free schools/faith bodies) in place planning solutions should increase potential for access to capital/additional places. Expansion programme of primary schools has continued.	Adequate	GE	NL	Ongoing
1.10	Capital funding secured from DFE Basic Need and city Council	Adequate	GE	NL	Ongoing
1.11	Undertake exercise to clarify accountabilities and duties in light of structural and personnel changes	Yet to secure improvement	CB	HoS	April 2013
2.0	Failure to deliver improved educational outcomes for young people through further education.				
2.01	Science City Education and Training Group refreshed to reflect changes to governance and Growth Plan agenda of Science and Technology Group. Membership refreshed to ensure key partners including all Sixth Form and FE colleges are engaged, as well as relevant statutory and voluntary sector bodies.	Adequate	JY		April 2013
2.01	Education and Training Group developing 'STEM WORKS' Local Action Plan for science communication (April 2014 - March 2020). LAP addresses Growth Plan objectives around developing skills for the knowledge economy, specifically raising number of young people attaining level 3 in STEM subjects ; LAP details partnership arrangements and actions that will be undertaken for young people to progress to further education and achieve level 3 STEM qualifications.	Adequate	GE	MP	May 2013
2.02	Develop, agree and prioritise corporately educational measures that emphasise the needs of individuals and the economic needs of the city	Yet to secure improvement	DM	IC	TBC
3.0	Failure to deliver improved educational outcomes for young people through vocational qualifications.				

Risk Ref.	Constituent Risk Description	Risk Mitigation Effectiveness	Responsibility for action		Completion date/ review cycle
MANAGEMENT ACTIONS:					
3.01 3.02	Alternative qualifications sought and developed in line with revised national guidance. Increased quality of teaching and learning of 'traditional' academic subjects. Working with the schools to support their curriculum planning for 2012/13 based on the new list of qualifications. A non-GCSE curriculum audit has taken place and will be presented at the 14-19 Board for discussion. Projects with schools are already taking place e.g. network meetings for English and Literacy staff across all schools and academies, Year 9 literacy project at Hadden Park and C/D borderline raising the grade in GCSE English conference planned for December. Subject to approval of funding being carried forward into this financial year, further projects will continue in the 2012/13 academic year.	Adequate	JY	TK	July 2013
3.01 3.02	Citywide progression agreement and provide curriculum support to school leaders in light of changes to the qualifications included in school performance measures.	Yet to secure improvement	JY	GE	In place
3.03	Implementation of Apprenticeship Hub in Nottingham to stimulate the demand for apprenticeship by employers and to ensure that city residents have the appropriate skills to meet this demand. Most recent figures are 16-18.	Adequate	JY	AR	Launch November 2012. App Hub in place until March 2015
4.0	Failure to match education outcomes with the economic need of the City.				
4.01	Economic Innovation to identify growth sectors and inform 14-19 colleagues who can then liaise with curriculum staff in schools/academies to influence the delivery of appropriate qualifications.	Yet to secure improvement	JY	TK	July 2013
4.03	Secure commitment for a curriculum for the Nottingham learner	Yet to secure improvement	DM	IC	TBC
4.05	Develop options around the provision independent advice/support on careers choices	Yet to secure improvement	AC	GE	TBC
5.0	New LA school improvement inspection framework				
5.01	Undertake self assessment framework to identify and develop responses to areas for improvement	Yet to secure improvement	CB	GE	TBC

SR25a - Failure to embed a corporate approach to commissioning, informed by citizen need, which drives delivery of improved services at significantly lower cost

This risk is aligned to the embedding of the agreed commissioning approach as part of the Council's transformation portfolio and is designed to a) Improved services focussed around citizen need and b) Ensure better use of our resources.

This risk was originally focussed on the development of the commissioning approach and pathway, its application through strategic commissioning reviews in Children & Families. It has been re-scoped to cover the wider embedding of the council's agreed corporate approach to commissioning.

		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. Brudenell Interim CD Children & Families					Completed by:	K. Banfield Commissioning Change Programme Mgr					Date completed:	Mar 2013	Review date:	Jun 2013
RISK SUMMARY															
Opening (Dec 12)			Previous (Dec 12)				Current (Mar 13)				Target (Mar 14)			Overall risk mitigation effectiveness (Adequate, Yet to secure improvement, Inadequate)	
Threat level			Threat level			Threat level			Threat level			Threat level			
					DoT ↓ Improving ↔ Stable ↑ Deteriorating										
3	4	12	3	4	12	↓	3	4	12	↔	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		
CP3R1	Inconsistent and/or only partial implementation of a commissioning approach	4	4	16	4	4	16	4	4	16	↓	2	4	8
CP3R2	Lack of agreed strategic vision for commissioning	3	5	15	3	5	15	3	5	15	↓	1	5	5
CP3R3	Limited understanding, knowledge or skills in relation to commissioning	3	4	12	3	4	12	3	4	12	↔	2	4	8
CP3R4	Lack of alignment between commissioning, citizen consultation, market development & procurement	3	3	9	3	3	9	3	3	9	↔	1	3	3
CP3R5	Application of commissioning approach does not deliver improved services and/or lower costs	2	4	8	2	4	8	2	4	8	↓	1	4	4

EXISTING MANAGEMENT ACTIONS				ADDITIONAL MANAGEMENT ACTIONS			ALL
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CP3R1	Inconsistent and/or only partial implementation of a commissioning approach						
CP3R1.1	Embed commissioning led approach to delivery of Adults and Childrens Big Tickets	KeB	Adequate				
CP3R1.2	Review VCS funding applying commissioning-led approach	KaB, IA	Adequate				
CP3R1.3	Develop/agree wider programme of strategic commissioning reviews to include children, adults and public health	CM	Adequate				
CP3R1.4	Agree over strategic review programme, linked to Community Right to Challenge	CB, CR	Adequate	Review and update strategic review programme	CM	01/06/13	01/09/13
CP3R1.5	Develop programme to include other key council services/priorities	CM	Yet to secure improvement	Proposals for wider programme of reviews considered by CLT	CM	01/04/13	01/06/13
				Commissioning approach integrated within strategic business planning	RH, KeB, CM	01/06/13	01/09/13
CP3R1.6	Develop clearer understanding of where commissioning approach applied/not applied - including reasons why not applied			Collect information on application of commissioning approach	To be agreed by Steering Group in April 13	01/06/13	01/09/13
CP3R1.7	Communicate/promote wider awareness of agreed commissioning model and pathway	CR, RL	Yet to secure improvement	Update and implement communications and engagement plan	CR, RL	01/04/13	01/06/13
CP3R2	Lack of agreed strategic vision for commissioning						
CP3R2.1	Agreed commissioning framework in place	CB	Adequate				
CP3R2.2	Confirm overall commissioning vision through Leader, Cex, Commissioning Champion & CLT	CB	Yet to secure improvement	Further work with leadership group required	CB	01/04/13	01/06/13
CP3R2.3	Incorporate into organisational vision and values	RH	Yet to secure improvement				

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CP3R2.4	Ensure ownership of vision through key leadership groups (e.g., TN and Directors Forum)	CB	Yet to secure improvement	Further series of engagement events with leadership groups	RH	01/06/13	Sept 2013
CP3R3	Limited understanding, knowledge or skills in relation to commissioning						
CP3R3.1	Embed commissioning as part of Leading Nottingham Leadership Development programme	RH, KeB, CM	Yet to secure improvement	Deliver series of targeted workshop based learning events linked to agreed review programme	RH, KeB, CM	01/06/13	01/09/13
CP3R3.2	Develop commissioning tool-kit informed by learning from yr1 and yr2 strategic commissioning reviews	CM, AD	Yet to secure improvement	Capture learning as part of planned review of commissioning pathway	CM, AD	01/05/13	01/06/13
CP3R3.3	Communicate/promote wider awareness of agreed commissioning model and pathway	CR, RL	Yet to secure improvement	Update and implement communications and engagement plan	CR, RL	01/04/13	01/06/13
CP3R4	Lack of alignment between commissioning, citizen consultation, market development & procurement						
CP3R4.1	Commissioning Pathway designed to incorporate citizen consultation, market development and procurement	CM, AD	Adequate				
CP3R4.2	Strategic reviews undertaken on a co-productive basis with involvement of citizens	CM, AD	Adequate				
CP3R4.3	Market Development, Citizen engagement and Procurement plans fully aligned with strategic commissioning reviews	CM, KaB, SO	Adequate	Ensure that plans for year 3 reviews fully aligned as part of finalising business and operational; plans	CM, KaB, SO	01/04/13	01/06/13
CP3R5	Application of commissioning approach does not deliver improved services and/or lower costs						
CP3R5.1	Leadership and partnership commitment and buy-in to the outcomes from applying the strategic commissioning approach	CB	Adequate				

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CP3R5.2	Maintain focus on citizens, ensuring a balance between savings and improvement	CM	Adequate				
CP3R5.3	Capture financial and non-financial benefits from all commissioning activity	CM	Yet to secure improvement	Consider and implement improvements to the way which non-financial are collected	CM, AD	01/06/13	01/09/13

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)	1	2	3	4	5
	Unlikely (2)	(2)	2	4	6	8	10
	Possible (3)	(3)	3	6	9	12	15
	Likely (4)	(4)	4	8	12	16	20
	Almost certain (5)	(5)	5	10	15	20	25

Owner:	C. Mills, Deputy Chief Exec. & CD Res	Completed by:	L. Jones, Interim Head of Corporate Policy	Date completed:	Mar 2013	Review date:	Jun 2013							
RISK SUMMARY														
Opening (Oct 10)			Previous (Dec 2012) Q3			Current (Mar 2013) Q4			Target (April 14)			Overall risk mitigation effectiveness (Adequate, Yet to secure improvement, Inadequate)		
Threat level (LxI=??)			Threat level (LxI=??)			Threat level (LxI=??)			Threat level (LxI=??)					
			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	2	4	8	2	4	8	↔	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	4	3	12	4	3	12	↑	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	3	5	15	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	3	3	9	3	3	9	↔	3	2	6
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	3	5	15	3	5	15	↔	3	3	9

EXISTING MANAGEMENT ACTIONS				ADDITIONAL MANAGEMENT ACTIONS			ALL
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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 now have a Policy and Communications Officer in post (funded by NCC) to support citizens and the advice sector directly by communicating changes and key messages and will provide a flow of intelligence/ feedback from communities/ citizens and the advice sector to help us understand the impact of welfare changes as they come into effect. This will help us to better tailor our communications and our policy responses and help early identification of emerging issues in communities.		Completed	Jan-14

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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	Lead Cllrs identified for Welfare Reform Communications (Cllr Piper & Cllr Klein). Benefit cap - all households that will be affected have been identified. . Financial impact ranges from a few pence to £450 per week. Cross matched 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. Year end statements have been issued notifying all households of the amount of benefit for the 2013/14 year. Households affected have been contacted directly & offered information & support. Government announced in December 2012 that this will now be phased in from April 2013, beginning with London LAs, due to be completed for all areas by the end of Sept 2013. However, NCC is still maintaining data matching as DWP issue new batches of data to ensure preparedness for when we do have to begin to apply the cap. Latest information from DWP suggests this will begin in July and be completed by September.	LB	On-going, with a phased approach	Mar-13

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			adequate	<p>Under occupancy - all households affected now identified. NCH and other RSLs have contacted 95% of affected households in order to gauge if households will be able to plug the gap or if alternative accommodation may be required in the future. Landlords advise that 80% of households contacted so far say they want to stay in their homes and try to pay the shortfall themselves. Feedback highlights that people see the properties they live in as their homes and they need to stay where they are to be able to access their community and support networks around them and so their children can access school/ college.</p> <p>The HB service has not written directly to households affected as there was concern that this would duplicate the work being done by RSLs and create confusion. Year end statements have been issued notifying all households of the amount of benefit for the 2013/14 year. All care leavers and foster carers affected have now been identified. The Welfare Rights service has 1:1 meetings for all care leavers affected to do a financial health check and to ensure a DHP application is submitted.</p>			
3,6,7			adequate	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	Completed - awaiting evaluation	March 2013 for evaluation

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1,2,3,4,5,6,7	Communicating forthcoming changes to citizens and councillors	LJ and LB	Adequate	Welfare Reform Communications group which includes key partners is in place and is implementing its communications strategy. This takes a phased approach to communicating welfare changes to the broader community focussing on the next 6 months. Comms strategy now updated 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. The 'One truth' document has been published and shared with colleagues, partners, front line workers and Cllrs. However, frequent policy changes by DWP mean that it constantly needs updating.	LJ and LB	On-going, with a phased approach	Mar-13

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1,2,3,4,5,6,7				<p>Awareness sessions on the welfare changes are being rolled out to front line colleagues; partners and community representatives.</p> <p>Welfare briefing sessions are being delivered in wards. Citizens known to be affected by the Housing Benefit under occupancy changes are being contacted and invited to attend. 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. Agreed communication channels to share welfare reform comms at a national and local level being driven through the Homelink group of RSLs and through Housing Strategy to private landlords.</p>	LJ and LB	On-going, with a phased approach	Mar-13
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.</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 e.g. promoting mutual exchange to tackle under-</p>	GM	Apr-13	Jun-13

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				<p>occupation, deciding how to prevent arrears being a barrier to transfers/ exchanges, developing a consistent approach to rent arrears, promoting the private rented sector as a potential housing option and ensuring frontline staff are fully briefed on welfare reform changes affecting tenants and are able to advise on options.</p> <p>Currently consulting on NCC allocations policy - contains features which will help NCC/ NCH to respond to under occupancy and still enable choice.</p> <p>NCC have developed an audit tool which is being with used with all RSLs to map local responses to the under occupancy challenge, to understand the scale, impact and effectiveness of communciations and mitigation options.</p>			
6,7,8				<p>Homelink event in February to support citizens was well attended; focussed on under occupancy and to find suitable size accommodation, including private sector options.</p> <p>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.</p> <p>RSLs developing additional support for tenants as part of welfare reform plans.</p>	GM	Jun-13	Jun-13

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6,7,8				Discretionary Housing Payment policy has been refreshed 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, including people with disability and foster carers, as set out in Governmet guidance. Completed by end of March 2013.	LB and LJ	Mar-13	Mar-14

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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>Council Tax Support Scheme (CTSS) approved by Full Council in January 2013. DCLG transition money for 2013/14 money applied for and awarded. Operational preparation has taken place for implementation of Council Tax Support Scheme. Billing process and parameters complete, pre-billing letters issued to households previously in receipt of full CTB to raise awareness of the changes.</p> <p>Local Discretionary Emergency Hardship Support Scheme in lieu of CCGs and CLLEs agreed. Approval for the final DEHS and ELS was given at March Exec Board Commissioning Sub Cttee. Now up and running. Emergency Loan Scheme in development with the Credit Union - finances understood, final approvals being sought.</p> <p>DWP - Short Term Advance demand is being driven to LA's inappropriately; LAs are in direct communication with local, regional and national DWP contacts to correct.</p> <p>Welfare briefing/ sessions taking place to support frontline faith partners.</p>	LJ and LB	Apr-13	Sep-13

EXISTING MANAGEMENT ACTIONS				ADDITIONAL MANAGEMENT ACTIONS			ALL
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1, 6, 7				Nottingham Standard now live. 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	Completed 2013	Jun-13
Partnership work							
4, 6, 7	Closer working with RSLs to share information and intelligence		Adequate	Data sharing protocols agreed with NCH for response to under occupancy changes. (see above) Working with RSLs across the city to identify any approaches from other authorities seeking to accommodate people outside London and the SE and to share intelligence on this.	GD	completed Ongoing	completed Ongoing
1,2,3,4,5,6,7	Communications and engagement with partners including the advice sector	LB	Adequate	Regular welfare reform briefings given to the Community Equality Forum , Advice Nottingham, One Nottingham and other partners. Work taking place with faith groups and Advice Nottingham to share key messages, the 'one truth' and build basic money management skills. (see above for detail on communications work)	LB and LJ	On-going	Mar-13
1,3,5,6,7			Adequate	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 -fully operational now.	GD (working with Advice Agencies)	Completed	Jul-05

EXISTING MANAGEMENT ACTIONS				ADDITIONAL MANAGEMENT ACTIONS			ALL
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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	Adequate	Working to increase levels of landlord accreditation & improve standards of private rented housing. Accreditation Standard now active, Private sector landlords attended the Homelink event to promote the private sector as an alternative to social housing.	GD	ongoing	Jun-13
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	Finalising proposals to operate the Emergency Loan Scheme via the Credit Union (see above). The awareness sessions on broader welfare reform, promote the role of the credit union in the City and RSL's within the East Midlands are looking at funding CU to create Budget Accounts in preparation for Universal Credit.		Apr-13	Sep-13
Operational preparedness							
2, 3,5	Working to be ready to implement CTSS and DEHS in April 2013.	LJ	Adequate	Significant operational preparation taken place to be ready for go live of CTSS and DEHS. Moving from design to implementation phase.	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>Providing additional prevention services using £381k funding to Nottinghamshire & Nottingham. Expansion of Rough Sleeping response for all LA's. Provided small grant to Nottingham Winter Shelter which operated from Dec - March in partnership with Faith Groups for City and County. Expanded rough sleeping work with Framework.</p> <p>Expansion of Private Rented Sector (PRS) activity in City to secure more PRS housing for vulnerable citizens. Seeking to increase availability of private rented sector property for vulnerable people - one year funding only aiming to create 120 additional tenancies for single people in 2013/14.. Currently trying to finalise recruitment processes. PRS models have been reviewed and simplified model developed. Working with The Nottingham Standard for all PRS property imbedded in the model.</p> <p>Within the homelessness prevention funding of £381k is a one off grant of £40k to Framework provide an additional 50 PRS tenancies for single people across the Core City area (Nottingham and conurbation).</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

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1,6,7				<p>Implementing a 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 the PRS order.</p> <p>Review of incentive activity for landlords and a simplification of existing schemes - completed.</p>	GH	Ongoing	Jun-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	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.	LJ	Adequate	Reply received. Did not provide additional insight to the questions raised.		Completed	

Nottingham City Council Risk Register - Report Summary

Ref.	Risk description	SR criteria						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	2012/13				Corp. Director (Risk Owner)	Lead Director or Senior Colleague			
										Q1	Q2					Q3	Q4	
SR19	Failure to deliver Council Plan priorities (under review)				✓				Date	Jan-12	Jan-12	Jan-12	Jan-12	↔	Sep-11	C. Mills Deputy Chief Exec. & CD-Res	A. Probert Director HR & Transformation	
								Threat Level	16 (4x4)	16 (4x4)	16 (4x4)	16 (4x4)			9 (3x3)			
								DoT	Stable	Stable	Stable	Stable						
SR26	Failure to support Nottingham citizens and communities in minimising the negative impact of welfare changes		✓					✓	Date	Jun-12	Oct-12	Jan-13	Mar-13	↔	Apr-14	C. Mills Deputy Chief Exec. & CD-Res	T. Kirkham Strategic Finance Director	
								Threat Level	16 (4x4)	16 (4x4) R	16 (4x4)	16 (4x4) R			9 (3x3)			
								DoT	Stable	Deteriorating	Stable	Stable						
SR6	Failure to safeguard vulnerable children		✓	✓	✓			✓	Date	Jun-12	Oct-12	Oct-12	March	↓	Apr-13	C. Brudenell Interim CD-Ch & Fam	H. Blackman Director Safeguarding	
								Threat Level	15 (3x5)	15 (3x5)	15 (3x5)	15 (3x5)			10 (2x5)			
								DoT	Improving	Improving	Improving	Improving						
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 (updated Q4 2012/13)	✓	✓		✓				Date	Jun-12	Oct-12	Oct-12	Mar-13	↑	Apr-15	I. Curryer Chief Exec.	C. Brudenell Interim CD-Ch & Fam	
								Threat Level	12 (3x4) R	12 (3x4)	12 (3x4)	12 (3x4) R			8 (2x4)			
								DoT	Stable	Stable	Stable	Deteriorating						
SR11	Failure to address medium term financial pressures in a sustainable way		✓		✓			✓	Date	Jun-12	Oct-12	Jan-13	Mar-13	↔	Mar-13	C. Mills Deputy Chief Exec. & CD-Res	T. Kirkham Strategic Finance Director	
								Threat Level	12 (3x4)	12 (3x4)	12 (3x4)	12 (3x4)			6 (3x2)			
								DoT	Stable	Stable	Stable	Stable						
SR14	Failure to deliver culture change (under review)		✓						Date	Jan-12	Jan-12	Jan-12	Jan-12	↔	Apr-11	C. Mills Deputy Chief Exec. & CD-Res	A. Probert Director HR & Transformation	
								Threat Level	12 (3x4)	12 (3x4)	12 (3x4)	12 (3x4)			8 (2x4)			
								DoT	Stable	Stable	Stable	Stable						
SR25a	Failure to embed a corporate approach to commissioning, informed by citizen need, which drives delivery of improved services at significantly lower cost (updated Q4 2012/13)				✓			✓	Date			Updated risk	Mar-13	N/A	Mar-14	C. Brudenell Interim CD-Ch & Fam	K. Banfield - Commissioning Change Programme Mgr	
								Threat Level				12 (3x4) C			9 (3x3)			
								DoT				N/A						
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				✓			✓	Date		Oct-12	Jan-13	Mar-13	↔	Mar-14	C. Brudenell Interim CD-Ch & Fam	H. Jones Dir for Adult Assessment	
								Threat Level	New risk		12 (4x3) C	12 (4x3)	12 (4x3)			9 (3x3)		
								DoT			N/A	Improving	Stable					

Ref.	Risk description	SR criteria							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	2012/13					Corp. Director (Risk Owner)	Lead Director or Senior Colleague	
										Q1	Q2	Q3					Q4
SR7a/b	Failure to reduce levels of crime and anti-social behaviour (ASB)	✓	✓		✓		✓		Date Threat Level DoT	Updated risk	Oct-11 12 (3x4)	Jan-13 12 (3x4)	Mar-13 12 (3x4)	↓	Sep-13 8 (2x4)	J. Kelly CD-Comm	E. Orrock Comm Safety Exec. Coordinator
SR29	Failure to establish an effective Public Health function impacting citizen wellbeing and a failure to deliver the authority's statutory responsibilities				✓		✓	✓	Date Threat Level DoT	New risk	Oct-12 12 (4x3) C	Jan-13 12 (4x3) R	Mar-13 12 (4x3)	↓	Apr-13 9 (3x3)	C. Kenny Dir Public Health	A. Hall Dir Health & Wellbeing Transition
SR3	Failure to mitigate the impact of the economic climate on the Nottingham City and its citizens				✓		✓		Date Threat Level DoT	Jun-12 12 (4x3) R	Oct-12 12 (4x3)	Jan-13 9 (3x3)	Mar-13 9 (3x3)	↔	Apr-12 9 (3x3)	D. Bishop CD-Dev	N. Jenkins Head of Economic Development
SR10	Failure to maintain good standards of governance		✓		✓			✓	Date Threat Level DoT	Jun-12 9 (3x3)	Oct-12 9 (3x3)	Jan-13 9 (3x3)	Jan-13 9 (3x3)	↔	Mar-13 6 (2x3)	C. Mills Deputy Chief Exec. & CD-Res	G. O'Connell Director Legal & Democratic Services
SR24	Failure to ensure effective systems are in place to manage health and safety risks			✓	✓	✓		✓	Date Threat Level DoT	Jun-12 6 (2x4)	Oct-12 9 (3x3)	Jan-12 9 (3x3) R	Mar-13 9 (3x3)	↔	Dec-12 6 (2x3)	C. Mills Deputy Chief Exec. & CD-Res	P. Millward Head of Service Emergency Planning
SR16a	Failure of partners including the City Council to work effectively together to achieve vision and outcomes in the Nottingham Plan to 2020		✓		✓		✓		Date Threat Level DoT	Jun-12 8 (2x4)	Oct-12 8 (2x4)	Jan-13 8 (2x4)	Mar-13 8 (2x4)	↔	2014 8 (2x4)	I. Curryer Chief Exec.	C. Richmond Acting Dir Policy Partnerships & Comms
SR5a	Failure to safeguard vulnerable adults		✓	✓	✓		✓	✓	Date Threat Level DoT	Dec-12 8 (2x4)	Oct-12 8 (2x4)	Jan-13 8 (2x4)	Mar-13 8 (2x4)	↔	Apr-13 4 (1x4)	C. Brudenell Interim CD-Ch & Fam	H. Jones Dir Comm Inclusion E. Yardley Dir Access & Reablement
SR2a	Of the reputation of the City		✓		✓			✓	Date Threat Level DoT	Updated risk	Oct-12 6 (2x3)	Jan-13 6 (2x3)	Mar-13 6 (2x3)	↔	Oct-12 6 (2x3)	I. Curryer Chief Exec.	C. Richmond Acting Dir Policy Partnerships & Comms
SR8a	Failure to implement and embed effective information management structures, polices, procedures, processes		✓	✓	✓			✓	Date Threat Level DoT	Jun-12 9 (3x3)	Oct-12 9 (3x3)	Jan-13 9 (3x3)	Mar-13 6 (2x3)	↓	Jun-14 3 (1x3)	C. Mills Deputy Chief Exec. & CD-Res	M. Gannon Director IT

DIRECTION OF TRAVEL (DoT):

Improving (reducing) threat level



Stable threat level



Deteriorating (increasing) threat level

