

Appendix A

REFERENCE				THE RISK			THE RISK EVALUATION				
Risk Reference	Risk Type	Service Area	Service Lead	The Event	Risk Description	The Impact	Owner	Date of Assessment	Likelihood Score	Impact Score	Risk Score
SR01	Financial	Children and Adults	Alison Michalska	Reduction in Government funding coupled with an increasing demand for services.	Lack of resources to support the funding of a competent workforce, to fund specialist external services and deliver proactive early intervention initiatives.	A failure to deliver the services required to citizens of Nottingham leading to an increased risk in the likelihood of harm to a citizen in need; an increase in risk of government intervention and a reduction in confidence in our services as a whole.	Alison Michalska	30-Jun-2017	4=Likely	3=Moderate	12
SR02	Workforce	All	Environmental Health	Statutory requirement in accordance with the Air Quality Management Guidance to monitor, report and reduce air pollution in Nottingham.	Failure to have in place sufficient resource to robustly monitor air quality and to report on areas exceeding statutory limits with relevant public exposure and report as an AQMA; failure to draw up an action plan detailing remedial action; failure to reduce levels of air pollution to below statutory limits.	Adverse affect on the health and longevity of our citizens; harmful effects on the environmental; breaching our statutory duty; impacts on the city's ability to attract tourists, businesses and economic development; increase in healthcare costs.	Andy Vaughan	30-Jun-2017	4=Likely	4=Major	16
SR03	Project	Development	David Bishop	Greater Broadmarsh Redevelopment with the refurbishment of the Broadmarsh Shopping Centre, Car Park development, roadscape and public realm	Failure to robustly manage the project and undertake regular gateway reviews; failure to undertake strict financial monitoring resulting in an overspend; failure to work collaboratively and effectively communicate with all stakeholders; failure to meet economic objectives.	Project is delivered over budget and over time, resulting in loss of resources and operational expenses; loss of opportunity for income and investment; adverse impact on reputation; inconvenience to citizens and loss of opportunity to fully meet economic objectives and potential benefits of regeneration of this area of this city.	David Bishop	30-Jun-2017	3=Possible	3=Moderate	9
SR04	Financial	All	Geoff Walker	Changes of funding of services from national taxation to local taxation. Reliance on funding from council and business tax.	Failure to raise sufficient funds from local taxation to meet the needs of our citizens.	Services will be reduced, cut in their entirety or ineffectively delivered - adversely affecting the citizens of Nottingham; increasing the risk of harm to vulnerable citizens and resulting in the failure to deliver our statutory duties and the priorities contained within the Council Plan.	Geoff Walker	30-Jun-2017	3=Possible	4=Major	12
SR05	Citizens	Children and Adults	Alison Michalska	Lack of Secondary School Places to meet citizen educational demand with a number of primary schools already over subscribed due to increases in pupil demand and secondary Academies reducing capacity to focus on improving performance. Legislation has resulted in councils losing the power to plan and build new maintained schools and a shift to new schools being 'free schools'.	Failure to plan to accommodate pupils from now until when pressure peaks; failure to engage Academies to increase capacity; lack of power, resources and finances to build new maintained schools; free schools are opened are not opened in areas where there is most demand.	A demographic 'wave' in primary schools could exceed Secondary capacity in Years 7 & 8 by 2020; if this were to occur the reputational risk to NCC would be significant. To meet demand class sizes may grow to such an extent as to have a detrimental effect on educational attainment.	Pat and Sarah Fielding	30-Jun-2017	3=Possible	4=Major	12
SR06	Commercial	Commercial and Operations	Andy Vaughan	Growth and Delivery of Commercial Activity.	Lack of agile and commercially astute management processes resulting in inability to quickly respond to business growth opportunities. Lack of empowerment in decision making at the lowest level delays decisions and quick turnarounds.	Commercial growth opportunities are missed, delayed or implemented with inadequate management data required to make sound business decisions; the commercial agenda fails to reach expected targets affecting the delivery of core services that rely on commercial funding for delivery; financial and reputation loss resulting from unprofitable commercial activity and failure to deliver the Council Plan priorities.	Andy Vaughan	30-Jun-2017	3=Possible	3=Moderate	9

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SR07	Workforce	All	All	Corporate Pay, Terms and Conditions relevant to commercial activity, and increasing demand for services.	Cannot pay at levels required to attract the talent to deliver the commercial agenda; reduced level of services delivered within wholly owned companies affecting commercial income and growth due to inability to pay overtime requirements; failure to meet statutory obligations/reduction in ability to deliver front line services due to inability to recruit and retain staff.	Commercial growth opportunities are missed, delayed or implemented poorly; potential of closure or reduction in services (such as in the Heat Station) affecting customers and impacting on supply chain; failure to meet obligations to citizens and deliver front line services such as community protection, waste management and environmental health services.	Richard Henderson	30-Jun-2017	4=Likely	3=Moderate	12
SR08	IT	Strategy and Resources	Candida Brudenell	With the progress of the Fourth Industrial Revolution brings an increasing frequency and capability of criminals to infiltrate organisational IT systems to cause harm.	IT security (tools, process and people) is insufficient to protect against the council's IT system being hacked to steal highly sensitive or confidential personal information or to steal financial data on our citizens and customers. IT security systems are insufficient to quickly detect a malware attack; processes and supervision fails to detect employee negligence or malicious behaviour. Failure to adequately train employees on IT security to raise awareness and ensure adherence to policies.	Data is sold for criminal use adversely affecting our citizens; stolen data is published affecting the councils reputation; data privacy and regulatory fines are incurred; the council suffers severe business interruption to critical services both during and after a malware attack; physical loss of data and damage to property and cost of restoration.	Simon Salmon	30-Jun-2017	3=Possible	4=Major	12
SR09	Operational	Strategy and Resources	Candida Brudenell	Loss of Services caused by catastrophic event such as flood, fire, power outage, terrorist act.	Lack of robust business continuity plans that are joined up, tested and adequate to respond to a business critical interruption; Budget cuts and rationalisation may challenge the ability of Category 1 responders to fulfil their statutory duty; Insufficiently prepared management leads to delay in the restoration of business critical activities and the control of the emergency plan.	Unable to provide critical services to vulnerable citizens; downtime is longer than necessary; reputation is adversely affected; cost escalates and the council is unable to deliver services to its citizens for longer than is acceptable.	Malcolm Townroe and Sarah Molyneux	30-Jun-2017	3=Possible	4=Major	12
SR10	Citizens	All	All	Delivery of the Derby Nottingham Metropolitan Strategy 2030	Fail to develop and sustain relationships and formal arrangements with partners, the community, and key stakeholders. No common vision and consensus across all key partners. Failure to understand the drivers for demands and shape services accordingly.	Failure of local agreements impacting adversely on council reputation, services to citizens and wellbeing of community as a whole. Potential financial risk with increased costs and strain on council resources. Outcomes for citizens and economic development does not reach council target and aspirations.	David Bishop	30-Jun-2017	3=Possible	3=Moderate	9
SR11	Operational	Strategy and Resources	Geoff Walker	Fit for the Future (Oracle Review)	The feasibility study and options appraisal does not adequately scope out the future needs, with a lack of understanding about the financial and HR requirements of the council as a whole. Failure to consult and understand the needs of key stakeholders; failure to meet the financial needs of the council's commercial requirements; delay in implementation beyond acceptable term after contract expiry.	A commitment to a contract that does not meet the long term financial and human resources needs of the council; an inability to respond to change in business need; financial loss and adverse impact on reputation and credibility.	Geoff Walker	30-Jun-2017	3=Possible	4=Major	12
SR12	Legal	Strategy and Resources	Candida Brudenell	Information Security and Governance	Failure to have in place robust processes that manage data in accordance with DPA requirement; to train staff and ensure all employees adhere to the policy. Failure to record near misses and take action to prevent actual misses. Failure to prepare and have in place policies that adhere to forthcoming GDPR regulations. Failure to contract manage the data of others whilst remaining the data owner.	Loss of sensitive and confidential data that adversely impacts on citizens. Fines for breaches of DPA. Loss of public confidence in the council. Potential of litigation and financial impact.	Colin Monckton	30-Jun-2017	3=Possible	3=Moderate	9

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SR13	Citizens	All	Alison Michalska	Social Care Sustainability (STP)	The Plan is not financially viable with funding gap moving to provider from commissioner; failure to properly integrate and collaborate with all partners; failure to maintain a sustained joint effort by the council and NHS counterparts on a shared focus and objectives; failure to align policies and have joint governance arrangements and a failure to deliver on the objectives set as an Accelerator Site.	Not achieving the desired social, health and wellbeing targets for our citizens; increase in financial cost; loss of confidence in our ability to meet the needs of our citizens; adverse impact on reputation.	TBC	30-Jun-2017	3=Possible	3=Moderate	9