

AUDIT COMMITTEE – 28 FEBRUARY 2014

Title of paper:	Strategic Risk Register (SRR) – Quarter 3 (Q3) 2013/14 Update	
Director(s)/ Corporate Director(s):	Report of the Deputy Chief Executive & Corporate Director for Resources	Wards affected: ALL
Report author(s) and contact details:	Simon Burton – Corporate Risk Specialist ☎ 0115 87(63432) ✉ simon.burton@nottinghamcity.gov.uk	
Other colleagues who have provided input:	Alison Michalska - Corporate Director Children and Families Helen Blackman - Director of Safeguarding Candida Brudenell - Director of Quality and Commissioning Claire Richmond - Director Policy Partnerships & Communication Liz Jones - Head of Corporate Policy Steve Harrison - Information Specialist	
Recommendation(s):		
1	Review previously selected risks: <ul style="list-style-type: none"> ○ <i>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 (see Appendix 1) (presentation by Alison Michalska Corporate Director Children and Families)</i> 	
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 Q3 2013/14 (see Table 1 and Appendix 2).	
3	Note the results of the review of the SRR by CLT	
4	Select one or more strategic risks from Appendix 2 for specific scrutiny as part of the SRR Q4 2013/14 Update	

1. REASONS FOR RECOMMENDATIONS

- 1.1 The recommendations are made in line with the Audit Committee's risk management role in providing 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 report presents the latest CLT review of the strategic risks faced by the Council.

2. BACKGROUND

2.1 Threat level reduction progress

- 2.2 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**.

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

- 2.4 Of the **14** strategic risks within the SRR:
- **Six** strategic risks are at target
 - A further **two** strategic risks show an improved DoT
 - However, *SR6 - Failure to safeguard vulnerable children* shows a deteriorating position

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 Q3 2013/14			
SR No.	Strategic Risk Description	Threat Level	DoT (Q2–Q3)
Red rated strategic risks (8)			
6	Failure to safeguard vulnerable children	15	↑
7a/b	Failure to reduce levels of crime and anti-social behaviour (ASB)	12	↔
8b	Failure to implement and embed effective information management structures, policies, procedures, processes and controls to support the council's immediate and future regulatory, legal, and business requirements (updated Q1 2013/14)	12	↔
11a	Failure to accurately predict and respond to financial pressures supporting the development and delivery of the medium term financial plan (updated Q1 2013/14)	12	↔
12a	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 (under review)	12	↔
30	Failure to create an organisational environment that supports delivery of Council priorities (new risk added Q1 2013/14)	12	↔
26	Failure to support Nottingham citizens and communities in minimising the negative impact of welfare changes	16 to 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	↓
Amber rated strategic risks (6)			
3	Failure to mitigate the impact of the economic climate on the Nottingham City and its citizens	9 At target	↔
25a	Failure to embed a corporate approach to commissioning, informed by citizen need, which drives delivery of improved services at significantly lower cost	12 to 9 At target	↓

TABLE 1: Risk Threat Level & DoT in rank order at Q3 2013/14 (continued)			
SR No.	Strategic Risk Description	Threat Level	DoT (Q2-Q3)
Amber rated strategic risks (6)			
2a	Of the reputation of the City	6 At target	↔
10	Failure to maintain good standards of governance	6 At target	↔
24	Failure to ensure effective systems are in place to manage health and safety risks	6 At target	↔
5a	Failure to safeguard vulnerable adults	8 to 6 At target	↓
Green rated strategic risks - There are no green rated risks at Q3.			

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

Appendix 2 identifies individual risk owners, detailed risk threat level assessments between March 2013 (Q4 2012/13) and January 2014 (Q3 2013/14) and the projected dates when target threat levels will be achieved.

2.5 Review of new, emerging and existing SRR risks

- 2.5.1 SR6 - Failure to safeguard vulnerable children: With the improvement in the threat assessment of SR26 Welfare reform, SR6 is now the Council's most serious risk and showing a deteriorating position on Q2. A surge in demand attributed to changes in the assessment framework and the impact of national awareness of safeguarding has significantly increased (by a 1/3) the number of cases being managed at a time when the service was carrying vacancies. While this has been addressed in the short term by agency staff with a recruitment exercise underway, this does have financial implications.

To assist with the management of service demands in the medium term, a new service, Children and Family Direct, has been established as an initial contact service ensuring an early, timely and effective response for families and children in need through prompt early advice and signposting for families in need of support. For families and children in need of safeguarding the service prioritises and escalates cases quickly, accessing an improved selection of appropriate interventions and case allocation matched to qualified social workers in the most serious situations.

There is a reputational risk with a number of inquests pending arising from incidents of self harm. There have been a number of actions developed to respond to rising incidents of self-harm, including additional support to schools and pupils from the CAMHS service. In addition, all key professions are receiving further training in identifying individuals at risk of self harming with a view to implementing effective early interventions.

Although there is an increase in the level of risk for this quarter, the mitigations in place are considered adequate to bring the risk to target, if the current funding is

maintained. Caseloads are more manageable ensuring that children receive a better service and families receive a more timely response.

- 2.5.2 SR8b - Failure to implement and embed effective information management structures, policies, procedures, processes and controls to support the council's immediate and future regulatory, legal, and business requirements: The level of risk remains unchanged at 12. A number of key Information Governance (IG) proposals have been approved by CLT that will significantly improve the underlying constituent risks. A stronger IG management framework will reduce the authority's exposure to risk through a planned approach to improvement. These improvements address matters of compliance, but also business need being aligned to key elements of transformational change (for example the Customer Access Programme and Commercialism) as well as the ongoing efficiency, effectiveness and reputation of the Council.
- 2.5.3 SR11a - Failure to accurately predict and respond to financial pressures supporting the development and delivery of the medium term financial plan remains unchanged for this quarter assessed at 12. The Grant Settlement for 2014/15 is now known and is marginally better than had been anticipated. However, the expected longer term position remains extremely challenging.
- 2.5.4. 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: Recent changes to the school inspection regime have significantly impacted on the regulatory view of the City's secondary provision. Inspections of seven secondary schools and academies in the City conducted in December 2013 under the new framework, deemed all schools to be inadequate and flagged a number of common issues and themes.

In response to this, Nottingham City Council and key partners have established the Nottingham City Schools Challenge Board to drive city-wide improvement and monitor school action plans to provide challenge and support to improve standards in inadequate schools. As well as local authority representatives, the Board membership includes representation from Ofsted, the Department for Education, national and local leaders of education and governance and will be led by an independent Chair. This Board will provide the rigour and drive to improve standards and deliver on required improvements.

There is also an increasing focus on the quality of Further Education Provision, with a new FE Commissioner having been appointed. It is important that we develop closer links to our local FE provision to ensure that the local offer meets the needs and aspirations of local learners and the local economy.

With the appointment of a new Corporate Director and in light of recent events, a commitment has been made to rescope the strategic risk for Q4 to more explicitly address issues and themes identified through the school inspections, namely:

- **Achievement and progress** – although KS4 results have improved year on year Nottingham City is still behind national averages and the progress made by young people was inadequate in all 7 schools

- **Quality of teaching & learning** – this is made up of a number of constituent risks from the adequacy of learning and development opportunities for newly qualified teachers, issues with supply of good quality teachers into City schools, the ineffective use of additional Pupil Premium funding to support learning for those eligible
- **Behaviour and attendance** – Nottingham City's performance with regards to attendance has long been an issue. The inspections in December highlighted high levels of absenteeism as a significant issue in schools, which impact dramatically on a child's ability to learn. Inspectors also noted a poor pupil attitude to learning which resulted in disruptions to lessons
- **Quality of leadership and governance** – School leadership, including governors, play a key role in securing improvement. Further work needs to be done to ensure school leadership is robust and challenging and that governing bodies has the tools and ability to challenge poor outcomes for pupils

The existing RMAP (attached as **Appendix 1**) has received a minor update for Q3 with the risk remaining stable at 12. For Q4 the RMAP will be rescoped to ensure the key areas of focus are included, with refreshed mitigating actions in place to drive improvement. Key enablers, such as maintaining a strong partnership with schools, will remain vital elements of any mitigation.

2.5.5 xSR16a - Failure of partners including the City Council to work effectively together to achieve vision and outcomes in the Nottingham Plan to 2020 entered the SRR in December 2008. The risk has received several reviews and updates and has remained at target 8 for nine consecutive quarters. The risk includes four constituent risks which are all at their target threat level:

- *Failure to align Council and partners' resources to the objectives and targets in the Nottingham Plan* (at target 8)
- *Failure to effectively performance manage the Nottingham Plan* (at target 4)
- *Changes in government policy and public sector funding cuts* (at target 20)
- *Partners disengagement from ON partnership* (at target 4)

Since 2010, One Nottingham partners have consistently demonstrated their support for the Nottingham Plan and their commitment to working together to deliver it.

It will be noted that *Changes in government policy and public sector funding cuts*, remains high risk. Although mitigations have been implemented, including horizon scanning, analysis of policy implications and working with partners to identify and implement opportunities and mitigations to public expenditure cuts and Government policy changes, these have limited effect on the level of assessed threat. This is reflected in the high target threat level. CLT agreed to delegate the risk to be managed by the Policy Partnerships and Communications Directorate with ongoing monitoring through the annual partnership governance health checks.

2.5.6 SR25a - Failure to embed a corporate approach to commissioning, informed by citizen need, which drives delivery of improved services at significantly lower cost: originally entered the SRR in Q1 of 2010/11 scoped around delivering improved outcomes through the implementation and embedding of the Commissioning Framework. A review completed in Q4 2012/13 rescoped the risk around the third phase of the Commissioning Programme.

As rescoped the risk was assessed at 12 since which mitigations have reduced the level of risk such that the risk is now assessed as improving and at target (9). This reflects progress made in relation to a number of constituent risks including partial/inconsistent implementation, agreeing strategic vision for implementation and a lack of alignment between citizen consultation, commissioning, market development and procurement:

- The commissioning strategy is now integrated with the procurement strategy contributing to a consistent approach to procurement aligned to the principles of the Commissioning Strategy
- The use of market development plans and position statements have proved effective in engaging/developing the market place and promoting innovation, extending citizen choice and meeting current and future citizen need
- The commissioning strategy has led to large scale joint reviews engaging cross departmental and external partners which have been effective in developing holistic responses focussed on addressing citizen need

Although significant constituent risks remain around consistent implementation and limited understanding, knowledge or skills for commissioning (both 12), identified mitigations are broadly assessed as adequate to bring the two remaining red risks to target (8).

2.5.7 SR26 - Failure to support Nottingham citizens and communities in minimising the negative impact of welfare changes entered SRR in Q2 2010/11 and until this quarter has remained the Council's highest risk at 16. Q3 2013/14 sees an improving position with threat assessment reduced from 16 to 12. This change results from significant improvement to three of the constituent risks:

- *Failure to meet increased demand for services, particularly welfare advice, hardship funds and homelessness (20 to 16)*
- *Failure to provide effective information and advice for citizens likely to be affected by welfare changes relating to current benefits (12 to 8)*
- *HB under occupancy rules changes results in an increase in recovery action resulting in increased eviction rates and homelessness (16 to 8)*

These improvements stem from a number of mitigations:

- Demand for services is being closely monitored to ensure the most vulnerable citizens receive the help they need. This has resulted in significant changes to our hardship arrangements and continued close working with the advice sector
- Work to maximise the use of Discretionary House Payment (DHP) and to target this effectively has contributed to managing the risk around information and advice to affected citizens and has helped to mitigate the impact of the Housing Benefit (HB) under-occupancy changes
- Work to ensure that introduction of HB under occupancy changes did not result in large scale eviction and homelessness has included the development of an Eviction Prevention Protocol and very close joint working with Nottingham City Homes to ensure tenants are effectively engaged and supported to help them deal with this change
- The introduction of the benefit cap has resulted in limited impact, due to the small number of households affected and early work to manage these impact

- Medium term actions and longer term systems change have also been developed to enable those citizens who can work to supported into work and those who are unable to work continue to be effectively supported. This is being overseen by a Programme Board

Sanctions and the CTSS for 2014/15 may mean that despite the identified mitigations and improvement, the level of risk could increase again.

2.5.8 xSR29 - Failure to establish an effective Public Health function impacting citizen wellbeing and a failure to deliver the authority's statutory responsibilities as originally scoped dealt with the transfer of the Public Health function. With the successful conclusion of the transfer, attention shifted to consider ongoing delivery risks with a specific focus on service integration. The Director of Public Health has committed to updating the Directorate Risk Register for Q4 when further consideration will be given to the requirement or otherwise for a continued Public Health Strategic Risk. The Director for Public Health will deliver a presentation on the outcome of this work to Audit Committee as part of the SRR Q4 Update. CLT agreed to close SR29 - Failure to establish an effective Public Health function.

2.6 Future Audit Committee reviews

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 Committee is invited to select two strategic risks from **Appendix 2** for more detailed examination in the SRR Q4 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. LIST OF BACKGROUND PAPERS OTHER THAN PUBLISHED WORKS OR THOSE DISCLOSING CONFIDENTIAL OR EXEMPT INFORMATION

3.1 Quarter 3 2013/14 Strategic Risk Management Action Plans.

4. PUBLISHED DOCUMENTS REFERED TO IN COMPILING THIS REPORT

4.1 SRR Q2 Update reported to Audit Committee 29 November 2013.

APPENDICIES

Appendix	Description
1	<i>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</i> (RMAP available for review by Audit Committee)
2	Nottingham City Council Strategic Risk Register - Report Summary



SR12a - Failure to ensure the best educational outcome for children & opportunities for young people to access further education & 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, changes within the School Access and Improvement Service and the increasing autonomy of schools (particularly academisation) 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 and reputation.

Threat Assessment Matrix

		Impact (I)				
		Negligible (1)	Minor (2)	Moderate (3)	Major (4)	Extreme (5)
Likelihood (L)	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:	A. Michalska Corporate Director Children & Families		Completed by:	N. Lee, Acting Head of School Access & Improvement A. Conquer, Head of Ed. Partnership		Date completed:	Jan 2014	Review date:	Mar 2014					
RISK SUMMARY														
Opening (Oct 13)			Previous (Oct 2013)			Current (Oct 2013)			Target (April)	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								
3	4	12	3	4	12	↔	3	4	12	↔	3	4	12	Yet to secure improvement

SR12a - Failure to ensure the best educational outcome for children & opportunities for young people to access further education & skills training to contribute to the economic wellbeing of the City.

RISKS TO BE MANAGED																					
Risk Ref.	Risk Description (cause, risk & impact)	Date identified	Identified by	Risk owner	Proximity (date when could impact)	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	Risk mitigation effectiveness (Adequate, Yet to secure improvement,	Status (Raised, Open, Closed)
R2	The diminishing influence of LA in the changing educational landscape risks a loss of focus on positive outcomes for children and young people and thus alignment with local employment opportunities and the economic needs of the city.	01/10/13	AC & NL	AM	Now	4	4	16	L	I		4	4	16	↔	4	4	16	Treat	Yet to secure improvement	Open
R3	Absence of a statutory requirement to offer careers advice/guidance risks children not having access to/receiving independent advice to support improved career choices	01/10/13	AC & NL	NJ	Now	3	3	9	L	I		3	3	9	↔	3	3	9	Treat	Yet to secure improvement	Open
R4	Insufficient intervention capacity/flexibility, the diminishing influence of the LA through academisation increases the risk of schools entering Ofsted category or hitting DFE intervention triggers to the detriment of outcomes for children and young people	01/10/13	AC & NL	AM	Now	3	4	12	L	I		2	4	8	↔	2	4	8	Treat	Yet to secure improvement	Open
R5	Reaction to academisation by existing Governors, diminution of the role of Governors resulting from academisation contributes to a difficulty in recruiting/retaining high quality school governors to provide good leadership and learning settings impacting attainment/learning outcomes	01/10/13	AC & NL	AM	Now	3	3	9	L	I		2	3	6	↔	2	3	6	Treat	Adequate	Open
R7	Lack of capacity in existing schools and continuing academisation risks additional school places being determined by commercial interests rather than demand with a shortfall or over-supply of places and a two tier system of education	01/10/13	AC & NL	AM	Now	2	4	8	L	I		2	4	8	↔	2	4	8	Tolerate	Adequate	Open
R8	The risks above collectively present a reputational/credibility risk to the service but also the council as a whole	01/10/13	AC & NL	AM	Now	3	3	9	L	I		3	3	9	↔	3	3	9	Tolerate	Adequate	Open

SR12a - Failure to ensure the best educational outcome for children & opportunities for young people to access further education & skills training to contribute to the economic wellbeing of the City.



EXISTING MANAGEMENT ACTIONS				ADDITIONAL MANAGEMENT ACTIONS			ALL
Risk Ref.	Issue Ref.	Description of actions already in place to mitigate the identified risks	Person accountable	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
A high frequency of placement changes for children in care risks poor attainment particularly at secondary level with subsequent high levels of continuing support.							
1, 2, 4				Agree education policy document "Learning Excellence" with partners (schools, academies, parents, FE) to provide focal point for Nottingham objectives, cooperation and improvement	NL/AC	Jan-14	
The diminishing influence of LA in the changing educational landscape risks a loss of focus on positive outcomes for children and young people and thus alignment with local employment opportunities and the economic needs of the city.							
2		Ongoing support for school to school partnerships	AC				01/03/14
2		Build relationships with schools and academies	AC	Work to build relationships with likely potential providers/academies who are yet to enter the local market place	AC	Ongoing	03/01/00
2, 4		Growth Plan to galvanise business sector and generate employment opportunities	CH				01/03/14
2		LA has a monitoring and influencing role in terms of standards in particular secondary education	NL	Articulate role and build standing with schools, academies, communities	NL	Ongoing	01//07/14
2				Challenge Board established to develop cross partner approach and support city leadership on education	AM	Dec-13	01/12/14

EXISTING MANAGEMENT ACTIONS				ADDITIONAL MANAGEMENT ACTIONS			ALL
Risk Ref.	Issue Ref.	Description of actions already in place to mitigate the identified risks	Person accountable	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
Absence of a statutory requirement to offer careers advice/guidance risks children not having access to/receiving independent advice to support improved career choices							
3		Nottingham & Nottinghamshire Futures contracted to provide independent careers advice	NJ	Cross border skills panel to be developed to complement employment needs of the conurbation	NJ	Jul-14	01/03/14
3		Undertake active contract management and performance management	NJ	Give consideration to undertaking consumer review of careers advice/guidance	NJ		01/03/14
Insufficient intervention capacity/flexibility, the diminishing influence of the LA through academisation increases the risk of schools entering Ofsted category or hitting DfE intervention triggers to the detriment of outcomes for children and young people							
4		Work with colleagues to review and revise internal corporate processes which adversely impact service performance	AC/NL				01/03/14
4				Recruitment of additional intervention resources	NL	Apr-14	01/07/04
4				Build relationship/credibility with DfE Performance Division to propose alternative intervention to academisation for failing schools	NL	Ongoing	01/07/14
Reaction to academisation by existing Governors, diminution of the role of Governors resulting from academisation contributes to a difficulty in recruiting/retaining high quality school governors to provide good leadership and learning settings impacting attainment/learning outcomes							
5		Governor Service in place	AC				01/03/14
5		Offer professional review of governance to up skill Governors and raise the profile and enhance the standing of the service	AC				01/03/14
5				Develop Governor cohort approach - active recruitment - up skilling of existing Governors, - retention of specific Governors opting out of academies for complementary roles	NL/AC	Ongoing	01/03/14

EXISTING MANAGEMENT ACTIONS				ADDITIONAL MANAGEMENT ACTIONS			ALL
Risk Ref.	Issue Ref.	Description of actions already in place to mitigate the identified risks	Person accountable	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
Lack of capacity in existing schools and continuing academisation risks additional school places being determined by commercial interests rather than demand with a shortfall or over-supply of places and a two tier system of education							
7		Dedicated team in place with relationships with schools and academies	NL	Develop coherent strategy for provision of school places - components / work streams	NL	Jul-14	01/01/15
The risks above collectively present a reputational/credibility risk to the service but also the council as a whole							
8		Communications plan in place to manage incident prepared with Comms and Marketing	AC	When we have secured shared vision for education in the City through the Charter - there is a need to develop a partnership communication strategy/marketing plan.	AC	Jul-14	01/07/15

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				2013/14		Corporate Director (Risk Owner)	Lead Director or Senior Colleague
										Q4	Q1			Q2	Q3		
SR6	Failure to safeguard vulnerable children		✓	✓	✓		✓	✓	Date	March	Jun-13	Oct-13	Jan-14	↑	Apr-14	A. Michalska CD - Children & Families	H. Blackman Director Safeguarding
									Threat Level	15 (3x5)	15 (3x5) R	15 (3x5)	15 (3x5)		10 (2x5)		
									DoT	Improving	Improving	Stable	Deteriorating				
SR7a/b	Failure to reduce levels of crime and anti-social behaviour (ASB)	✓	✓	✓		✓		Date	Mar-13	Jun-13	Oct-13	Jan-14	↔	Apr-14	J. Kelly CD-Comm	E. Orrock Comm Safety Exec. Coordinator	
								Threat Level	12 (3x4)	12 (3x4)	12 (3x4)	12 (3x4)		8 (2x4)			
								DoT	Improving	Improving	Stable	Stable					
SR8b	Failure to implement and embed effective information management structures, policies, procedures, processes and controls to support the council's immediate and future regulatory, legal, and business requirements (updated Q1 2013/14)						✓	Date	Updated risk	Jun-13	Oct-13	Jan-14	↔	Apr-14	C. Mills Deputy Chief Exec. / CD-Res	M. Gannon Director IT	
								Threat Level		12 (3x4) C	12 (3x4)	12 (3x4)		9 (3x3)			
								DoT		N/A	Stable	Stable					
SR11a	Failure to accurately predict and respond to financial pressures supporting the development and delivery of the medium term financial plan (updated Q1 2013/14)	✓		✓			✓	Date	Updated risk	Jun-13	Oct-13	Jan-14	↔	Apr-14	C. Mills Deputy Chief Exec. / CD-Res	T. Kirkham Strategic Finance Director	
								Threat Level		12 (3x4) C	12 (3x4)	12 (3x4)		6 (3x2)			
								DoT		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 (under review)	✓	✓	✓				Date	Mar-13	Mar-13	Oct-13	Jan-14	↔	Apr-15	A. Michalska CD - Children & Families	N. Lee Head of School Access & Imp Acting A. Conquer Head of Ed Partnerships	
								Threat Level	12 (3x4) R	12 (3x4)	12 (3x4) C	12 (3x4) R		8 (2x4)			
								DoT	Deteriorating	Stable	Stable	Stable					
SR30	Failure to create an organisational environment that supports delivery of Council priorities (new risk added Q1 2013/14)	✓		✓			✓	Date	New risk	Jun-13	Oct-13	Jan-14	↔	Mar-14	I. Curryer Chief Exec.	R. Henderson Head of Service Change & Improvement	
								Threat Level		12 (3x4) C	12 (3x4)	12 (3x4)		9 (3x3)			
								DoT		N/A	Stable	Stable					
SR26	Failure to support Nottingham citizens and communities in minimising the negative impact of welfare changes	✓				✓		Date	Mar-13	Jun-13	Oct-13	Jan-14	↓	Apr-14	C. Mills Deputy Chief Exec. & CD-Res	L. Jones Head of Corporate Policy	
								Threat Level	16 (4x4) R	16 (4x4)	16 (4x4)	12 (3x4)		9 (3x3)			
								DoT	Stable	Stable	Stable	Improving					

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	2013/14					Corporate Director (Risk Owner)	Lead Director or Senior Colleague
										Q4	Q1	Q2	Q3				
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	Mar-13	Jun-13	Oct-13	Dec-13	↓	Mar-14	A. Michalska CD - Children & Families	H. Jones - Director of Adult Assessment
Threat Level	12 (4x3)	12 (4x3)	12 (4x3)	12 (4x3)	6 (2x3)												
DoT	Stable	Stable	Stable	Improving													
SR3	Failure to mitigate the impact of the economic climate on Nottingham City and its citizens				✓		✓	Date	Mar-13	Jun-13	Oct-13	Jan-14	↔	Apr-12	D. Bishop CD - Dev	N. Jenkins Head of Economic Development	
Threat Level	9 (3x3)	9 (3x3)	9 (3x3)	9 (3x3)	9 (3x3)												
DoT	Stable AT TARGET	Stable AT TARGET	Stable AT TARGET	Stable AT TARGET													
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	Mar-13	Jun-12	Oct-13	Jan-14	↓	Mar-14	A. Michalska CD - Children & Families	C. Brudenell Director of Quality and Commissioning	
Threat Level	12 (3x4) C	12 (3x4)	12 (3x4)	9 (3x3)	9 (3x3)												
DoT	N/A	Improving	Stable	Improving AT TARGET													
SR2a	Of the reputation of the City		✓		✓		✓	Date	Mar-13	Jun-13	Oct-13	Jan-14	↔	Oct-12	I. Curryer Chief Exec.	C. Richmond Dir Policy Partnerships & Comms	
Threat Level	6 (2x3)	6 (2x3)	6 (2x3)	6 (2x3)	6 (2x3)												
DoT	Stable AT TARGET	Stable AT TARGET	Stable AT TARGET	Stable AT TARGET													
SR10	Failure to maintain good standards of governance		✓		✓		✓	Date	Jan-13	Jun-13	Sep-13	Jan-14	↔	Mar-13	C. Mills Deputy Chief Exec. & CD-Res	G. O'Connell Director Legal & Democratic Services	
Threat Level	9 (3x3)	6 (2x3)	6 (2x3)	6 (2x3)	6 (2x3)												
DoT	Stable	Improving AT TARGET	Stable AT TARGET	Stable AT TARGET													
SR24	Failure to ensure effective systems are in place to manage health and safety risks			✓	✓		✓	Date	Mar-13	Jun-13	Oct-13	Jan-14	↔	Dec-13	C. Mills Deputy Chief Exec. & CD-Res	P. Millward Head of Service Emergency Planning	
Threat Level	9 (3x3)	6 (2x3)	6 (2x3)	6 (2x3)	6 (2x3)												
DoT	Stable	Improving AT TARGET	Stable AT TARGET	Stable AT TARGET													
SR5a	Failure to safeguard vulnerable adults		✓	✓			✓	Date	Mar-13	Jun-13	Oct-13	Jan-13	↓	Oct 2014	A. Michalska CD - Children & Families	H. Jones Dir Comm Inclusion E. Yardley Dir Access & Reablement	
Threat Level	8 (2x4)	8 (2x4)	8 (2x4)	6 (2x3)	6 (2x3)												
DoT	Stable	Improving	Improving	Improving AT TARGET													

DIRECTION OF TRAVEL (DoT):

Improving (reducing) threat level



Stable threat level



Deteriorating (increasing) threat level

