

STRATEGIC SERVICE RISKS  
MANAGEMENT ACTION PLANS

**Worcester City Council - Risk Management – Summary – Strategic Service Risks**

<b>Title: Community Services</b>	<b>KPG: Safer &amp; Stronger Communities</b>	<b>Officer: Head of Safer &amp; Stronger Communities</b>
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Risk No.	Description	Initial Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
CS1	A reduction in resources without a reduction in the expectations of the authority, customers, residents and stakeholders.	B2	C2	D2	Delivery of existing community service cuts package, on target. Further changes and pressures are very likely.	Impact of temporary arrangement of managing major projects and the acquisition of new services. Impact of Council future funding shortfall.	Jan – Sept 2007	Periodic Project Meetings  Six weekly monitoring meetings with Section Heads
CS2	Tourism is viewed as a high priority which will require increased funding.	B2	C2	D2	There will be a “bedding in” period for the D.M.O. Appointment of Head of D.M.O. The BID process.	Date of appointment  Submission of the B.I.D.	April 2007  Jan 2009	Monitoring will be bi-monthly by the D.M.O. Board.
CS3	Community Services has a large number of interdependent projects	C2	B2	D2	Detailed and tight project planning.	The capacity to deal with the delivery	March 2007	Regular project meetings.

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	in progress with a reduced number of staff to deal with them.					of major projects and the acquisition of new services. The impact on the Services of the Council's future funding shortfall and restructures.	March 2008	

<b>Title: Urban Environment</b>	<b>KPG: Safer &amp; Stronger Services</b>	<b>Officer: Head of Urban Environment</b>
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Risk No.	Description	Risk Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
H1	Failure to achieve the CLG target of not placing homeless families and single young people in bed and breakfast accommodation for longer than 6 weeks	C3	C3	C4	Daily staff monitoring of B&B figures and cases, Quarterly monitoring by Corporate Housing Strategy Group, Development of alternative supply of emergency accommodation	No B&B stay for families or single you people greater than 6 weeks	KPG meetings	

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H2	Failure to achieve the CLG target of not decreasing the supply of temporary accommodation for homeless households to 42 units by 2010	C2	C2	C3	Regular monitoring of the temporary accommodation reduction plan by the team staff and the Corporate Housing Strategy Group	Annual reduction in temporary accommodation numbers in accordance with the local performance indicator: 06/07 = 100 07/08 = 60 08/09 = 4	Bi-monthly Corporate Housing Strategy Group	
H3	Failure to implement the Housing Act 2004 (i.e. HMO's Housing in Multiple Occupation)	C3	C3	C4	Monitor inspection programme and outcomes and the take up of grants and number of licenses issued and income received.	Number of licenses issued and meeting the required standards, grant spend and income generated on a monthly basis	Monthly	
H4	An increasing need for affordable housing because of insufficient supply, the loss of existing affordable accommodation due to right to buy sales, levels of homelessness and increasing rent and house prices.	B2	B2	C3	Monitor progress with developers and funding received from the Housing Corporation to enhance the number of units delivered via S106 contributions.	06/07 = 92 07/08 = 75 08/09 = 90	KPG BVPI	
H5	The Audit Commission inspection of the Housing Service results in poor score	C2			Continue to implement improvement programme prior to inspection and develop an action plan post findings	Audit Inspection Score	Corporate Housing Strategy Group, fortnightly Housing Inspection Group	

**Worcester City Council - Risk Management – Summary – Strategic Service Risks**

<b>Title: Office Services</b>	<b>KPG:</b>	<b>Officer: Office Services Manager</b>
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Risk No.	Description	Risk Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
OS1	Ability to manage Offices Services workload with limited Team Leader resources.	A2		D3	Recruiting additional Team Leader(s) once Head of Governance and Corporate Support is in post	Implementation is given high priority once Head of Governance and Corporate Support is in post	March 07	
OS2	Limited IT resources to carry out scanning and indexing in the back office	C2		D3	Additional IT resources being considered by CE/SMT	Funding is made available for additional resources	July 07	
OS3	Lack of commitment from some Service areas to adapt to the One Council philosophy	C2		D4	Greater collaborative working between Office Services management and Services Managers.  Additional Team Leader resources	Recommendations made in the Audit report are implemented	March 07	

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OS4	Ability to implement revised Office Services arrangements following restructuring/Audit Report with limited Office Services management resources	B2		D3	Consider additional support from SMT and Service Managers to the process	Increased resources to implement recommendations	March 07	
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<b>Title: Section Risks – Operational Services</b>	<b>KPG: Cleaner and Greener City</b>	<b>Officer: Head of Cleaner and Greener City</b>
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Risk No.	Description	Risk Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
OS1	Too few employees involved in too many issues	B2	B2	C3	Prioritise works to be completed. Look for assistance. Service review by H of S	Gov't returns. Calc'n of PIs. Project completion	30.6.07 30.9.07 31.12.07 31.3.08	As and when key issues arise
OS2	Failure to successfully implement Phase 3 of wheeled bin scheme	C2	C2	D3	Meetings to monitor Project Plan. Promotions campaign. Surveys and leaflets	Minimise calls to CSC. Establish bin numbers by order date	2.10.07	Project plan and board meetings
OS3	Programme of improvements to public conveniences will not	B2	B2	C3	Complete package of works.	Budget for imps. Increased	Phase 2 May 2007	Cornmarket and Croft Road

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	produce target level of savings within budget				Remedial works where free access. Review further range of option	income. Total savings package per year	Phase 3 Nov'r 2007 Qtrly report to Cabinet	completed Monthly budget update
OS4	Review of basis of Cleansing Operations will not deliver improvements to standard of service	C2	C2	D3	Continue and review trials. Look at enforcement and education. Review carried out by Colin Davis.	Improvements to BV199. School visits and FPNs. Agreed plan of action	Tuesday and Thursday trials. Quarterly review meetings	Report back to Cabinet on changes – following trials.
OS5	Increasing workload arising from a number of factors – e.g. additional properties – will stretch refuse collection service beyond limit of available resources.	B2	B2	C3	Growth bid in budget 07/08. Prioritise work requests to maximise efficiencies. Look at use of underspends	Provide collection service to all properties. Cover all peak and holiday periods	Occupation of large new sites.	Balance rounds and monitor they are completed daily
OS6	Potential of increased level of accidents associated with types of operation and resources available to devote to health and safety issue.	C2	C2	C3	Risk Assessments in place. Training for new and existing employees on	All RAs to be reviewed 2007/08. Employees trained to agreed	Consultative meetings Quarterly reviews	Regular discussions with H & S Adviser, and Union Safety Rep.

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					key areas.	levels		
OS2a	Failure to successfully introduce Phase 2 of wheeled bins.	C2	E3	D3	Scheme implemented – no further risk			
OS4a	Failure to achieve specific objectives of Litter Campaign Strategy	D2	D3	D3	BV199 and Satisfaction levels both improved – no longer critical risk			
OS5a	Ability to undertake Enforcement Action under Clean Neighbourhood Act not in place by operative date.	C2	D3	D3	Agreement with police for CSOs to take action, plus employees from Pollution Section issuing FPNs – no longer critical risk.			
OS6a	Insufficient workload for Works Unit – impact on recovery of overhead in 2006/07 budget.	B2	C3	D3	Work flow improved, few current problems experienced – continual need to monitor – no longer critical risk			
OS7a	Overall level of support services provided by Business Support, will not be sufficient to enable all objectives to be delivered.	B2	C3	C3	Specific work areas are still a problem and cover at times of absence –			

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					no longer critical risk.			
OS8a	Fly Tipping Strategy will not lead to improvements in BV199d – and level of flytipping will continue to increase	C2	C3	D3	BV199d has actually improved, through enforcement action, but fly-tipping has increase. Continue to monitor – no longer critical risk.			

<b>Title: Parks and Cemeteries</b>	<b>KPG: Cleaner and Greener City</b>	<b>Officer: Ian Yates</b>
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Risk No.	Description	Risk Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
PK1	Failure of Worcester in Bloom or internal financial pressures result in cuts to the horticultural and flower displays.	B2	C2	E2	Prepare business plan for Worcester in Bloom	Income stream is protected	1/4/2008	
PK2	High standard of park maintenance required for parks is not achieved.	B2	C2	E4	Implement Down To Earth and resource accordingly	Availability of sufficient staff	1/4/2008	
PK6a	The higher standard of maintenance required for the riverside, and in particular the new	D2	D3	E4	Review of resources and operations planned	Effective prioritisation of resources	Ongoing	

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	developments, not achieved.							
PK7a	Failure to successfully implement Children's Play Ground Refurbishment Programme	C2	D2	E3	Plan is prepared to prioritise refurbishments, and limit problems if delays occur	Work is tendered annually		
PK8a	Cuts to the park warden service as a result of financial pressures result in a reduced presence in the parks and more anti social behaviour.	C2	D2	E3	Demonstrate value of the service	Falling anti social behaviour	Ongoing	
PK9a	Failure to engage effectively with the friends groups results in them becoming pressure groups.	C3	E3	F4	Allocate management time and resources to working with the friends groups	Achieving actions agreed with the friends	Ongoing	
PK10a	A lack of management time results in the collapse of key partnerships, with organisations like the Duckworth Worcestershire Trust	C3	E3	F4	Allocate management time and resources to partnerships	Maintain regular monitoring or partnerships	Ongoing	
PK3	Memorial Safety Programme is not completed and an accident occurs	B2	C2	E3	Maintain resources to ensure works are completed	Availability of resources	Ongoing	

**Worcester City Council - Risk Management – Summary – Strategic Service Risks**

<b>Title: Governance &amp; Corporate Support</b>	<b>KPG: Customer Care &amp; Citizen Engagement</b>	<b>Officer: Head of Governance &amp; Corporate Support</b>
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Risk No.	Description	Risk Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
P1	Facilitate food store in St John's	B2	D2	E2	Negotiate terms and complete development agree with Sainsbury's	An agreement with Sainsbury's and County Council.		
P2	Feasibility to rationalise car parking provision in City centre	D3			Network ticket machines. Collect all relevant information Forecast demand identify total capacity at locations and shortfalls. Report.	Report to Cabinet June 2008		
P3	Implement any further office accommodation moves.	D2		D3	Keep under review preferred requirements of all HoS /Service managers and space availability and bring forward proposals to use accommodation efficiently.		As required	
P4	Install Property data base and link to Integra financial system.	D4		E3	Consultants appointed to manage this specialist task between Tech Forge and IBS.		April 07	

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P5	Re negotiate renewal of lease for Swan Theatre	C2		E3	Implement planned programme of building repairs to rectify major building defects and agree new FRI lease with Worcester Life at completion.	Need to secure suitable premises from which the theatre can operate.		
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<b>Title: Financial Services</b>	<b>KPG: PIE</b>	<b>Officer: Head of Financial Services</b>
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Risk No.	Description	Risk Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
FS1	The need for ongoing support and maintenance by IT of key Revenues and Benefits (R&B) systems.	C1	C1	D3	Back up with software	Software operating successfully	On delivery of software releases and fixes	
FS2	Insufficient professional and skilled employees available in R&B and training capacity limited.	B2	B2	D3	Implementation plans in place	Vacancies managed in normal course of events	Monthly monitoring	
FS3	Financial impact on Council of any problems with revenue collection (£70m) and benefit subsidy (£22m) due to implementation of Shared Services	C2	C2	D3	Implementation plans in place	PI's improving	Quarterly financial monitoring reports	
FS4	Impact of risks identified in Shared Services implementation plan	C1	C1	D3	Implementation plans in place	Implementation plan on course	Weekly /monthly monitoring	

**Worcester City Council - Risk Management – Summary – Strategic Service Risks**

<b>Title: Planning Service</b>	<b>KPG: Urban Environment</b>	<b>Officer: Paul O’connor</b>
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Risk No.	Description	Risk Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
Pg1	Job Evaluation – Impact on Building Control.	A1	A1	D3	Review of market supplements.	Continuation of market supplements within budget.	Resolution of outstanding matters well before Sept 2007.	
Pg2	E-enablement of Planning and B.C. Services (related issues – GIS, Ocella, Fee payments on-line, Electronic Document Management)	C2	C2	D3	Subject of Planning Service Plan; Subject of Business Support Review; Corporate review of Ocella; Corporate review of implementation of EDRM. Monthly E-Govt Performance Management Meeting.	Delivery of Ocella review; Parsol requirements for online submission, LDF delivery & website; Online BC submission; Review of future of microfiche; Decision on back-scanning; Decision on EDRM.	Process review March 2007; E-Govt PMM / Cabinet decision on capital implications summer 2007.	E-Govt PMM; Regular KPG.
Pg3	District/County Council collaboration breaks down.	C2	C2	D3	Monitor via KPMG Blueprint; Quarterly office	Delivery of Riverside, Cathedral	Establishment of Master	Review Blueprint; Quarterly steering group meetings;

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					steering group; Quarterly members steering group.	Square, highway infrastructure, public transport, and library capital projects. Delivery of joint working on projects (highway trees). Consensus on land assembly issues.	Plan April 2007. Review dates of individual projects.	Regular KPG updates.
Pg4	The Council may fail to, or be unable to, manage the development opportunities from the opening of the University and library effectively.	C2	C2	D2	Monitor via KPG,UCW WP and Cab/SMT interface. Submission of university application March 2007.	Disposal/relocation of depot. Provision of a new library including relocated CSC. Completion of new campus	Outline permission granted. Reserved matters to be submitted 2007. PFI contract in place by April 2008.	Regular KPG update; WP involving CE.
Pg5	South Worcestershire Joint Advisory Panel collaboration breaks down	B1	C2	D3	Monthly JAP steering group meeting; Monthly JAP members meeting;	Delivery of Joint Core Strategy on time, on budget, with robust	Critical path identified in LDF & JAP timetable	Monthly steering group & JAP monitoring; Monthly UETM monitoring; Regular KPG update.

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					Recommendations to the districts as required; Review by officers/ members of timetable and budget.	evidence base (sound), with consensus across South Worcs.	s.	
Pg6	Planning application fee income continues below budget	C2	C3	D3	Alert Finance/ KPG at regular monitoring. Outside control. Review of alternative income source.	Meeting annual budget target.	Monthly review; Year end review	Monthly at UETM; Regularly at KPG
Pg7	Development Control BVPI performance declines	C2	C3	D3	On-going monitoring, priority given to BV109a-c; Workload re-allocated if necessary; Other work made lower priority when necessary.	BV109, BV204 BVPI's; Parsol requirements; Receipt of PDG	On-going due to Parsol and PDG requirements.	Reviewed weekly by Planning Manager; Monthly by PTLM; Regularly by KPG; Quarterly by Planning Committee.
Pg8	Local Development Framework not achieved	B2	B2	D3	Review of LDF Feb 2007 to be subject of robust assessment. Linked to Joint Core Strategy. Liaison with internal/ external partners to	Achievement of 75% of LDF milestones	Ongoing monitoring. Dec 2007 (Annual Monitoring Report)	Reviewed monthly by PTLM, regularly by KPG, Quarterly by LDF Working Party, AMR to GO-WM.

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					achieve deadlines. Prioritise workload at key times.			
Pg9	Development Plan Documents deemed unsound at EIP	B1	B1	E4	Liaison with GO-WM before submission; Robust evidence gathering before submission but late intervention by Planning Committee / Cabinet has resulted into DPD's vulnerable to challenge. History of similar issues across the country. If unsound, need to start from scratch.	DPD's accepted by Planning Inspectorate after EIP (date to be confirmed)	TBC	Liaison with PINS / GOWM ongoing. Budget review at KPG if unsuccessful.

**Worcester City Council - Risk Management – Summary – Strategic Service Risks**

<b>Title: Section Risks – Environmental Health</b>	<b>KPG: Safer and Stronger Communities</b>	<b>Officer: Head of Cleaner and Greener City</b>
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Risk No.	Description	Risk Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
EH1	Risk of failure to meet FSA's expected inspection target of food premises in the City	B3	C2	D3	Operate in conjunction with funds obtained from bid to FSA	100% inspection programme achieved each year	30.6.07 30.9.07 31.12.07 31.3.08	Review numbers attending each seminar
EH2a	Ability to manage Environmental Health workload through effective use of the Ocella system	C2	D2	D2	Agreement made with Ocella to provide visits for updating and training			
EH3	Shortfall in level of service provision being delivered by Business Support – combined with imminent retirements	A2	C2	E3	Review services provided and implement any efficiency improvements identified as part of the review	Improved service request levels and increase in phone response rates	30.6.07	Weekly review of current position
EH4a	Service not yet transferred to CSC – monitor changes proposed and review ongoing success	C2	C3	E2	Agree Action Plan and regular training proposals with the CSC Manager			

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Risk No.	Description	Risk Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
EH5	Actions taken to reduce seagull numbers will not prove effective in the short term	A3	C2	D3	Continue with Strategy commenced in 2006/07 with aim of stabilising and then reducing overall numbers	Less reported complaints and stability in total numbers of gulls counted	Early April 2007	Continue monitoring of eggs during nesting season
EH6	Ability to undertake enforcement action as provided by CN and E Act	C2	C2	D3	Ensure CNE powers in place and FPNs available for litter and other relevant offences	Publicity for actions taken. Imp to BV199 Education Campaigns	1.4.07 onwards	Review as part of Litter Campaign
EH7a	Risk of failure to meet health and safety inspection programme due to compliance with new ways of working – FIT3 – in 2007/08	D3	D3	D3	Continue to assess whether the balance of staff allocated to H & S is appropriate to deliver programme			
EH8a	Possibility of not achieving the aims of the Licensing Act 2003 – no monitoring of 4 statutory objectives	C2	C3	D3	Continue to implement, monitor and control the Review Plan against the			

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Risk No.	Description	Risk Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
					objectives in the Plan for 2007/08			
EH9a	Reduction in public safety relating to taxis, through not delivering an effective and efficient taxi enforcement programme	C2	C3	D3	Implement, monitor and control the agreed 3 year plan for a themed enforcement programme			
EH10a	Failure to enforce the provisions of the Gambling Act 2005	C3	C3	D3	Policy approved, continue training of officers and members in relation to gambling legislation and follow proposals in Licensing Action Plan			
EH11a	Failure to implement and enforce the provisions of the Smoke Free legislation	C3	C3	D3	Agree action plan to maximise benefit and impact achieved from the funds			

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Risk No.	Description	Risk Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
					provided – on a joint Countywide basis			

<b>Title: Section Risks – Environmental Health</b>	<b>KPG: Safer and Stronger Communities</b>	<b>Officer: Head of Cleaner and Greener City</b>
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Risk No.	Description	Risk Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
EH12a	Failure to improve the local air quality environment in relation to industrial emissions	B3	B3	D3	Risk assessment scoring in place for permitted processes, continue improvements in upgrading and monitor compliance			

<b>Title: Policy and Review</b>	<b>KPG: PIE/Safer and Stronger Communities</b>	<b>Officers: Peter Butler and James Sommerville</b>
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Risk No.	Description	Initial Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
PAR1	People Resource not sufficient to effectively		B2	D3	- Recruitment of Performance	- Successful recruitment of	Oct 06	

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	deliver all responsibilities				and Service Planning Manager - Effective Performance Management	Performance & Service Planning Manager	Ongoing	
PAR2	Complaints system not fit for purpose		B3	D3	- Full review of complaints system underway	- Introduction of new system and processes to all Service Areas	Ongoing	Working group currently considering the process
PAR3	Corporate/Service Planning structure and process does not lead to effective performance management		C2	D2	- Recruitment of Performance and Service Planning Manager - Review of planning procedure	- Performance Management culture replaces performance monitoring culture	Oct 06  Ongoing	
PAR4	Worcester Alliance does not deliver an effective community strategy		D3	E4	Support of Worcester Alliance Management Board and Forum	- Launch of Community Strategy  - Launch of Community Strategy Action Plan	May 07  Autumn 07	Strategy at draft stage

<b>Title: Personnel and Procurement</b>	<b>KPG: PIE</b>	<b>Officers: Penny West, Alex Haslam, Celia Gardner</b>
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Risk No.	Description	Initial Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
PP1	A proportion of managers lack more general management skills such as people and business		A2	D3				

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	management.							
PP2	The Council has limited resources.		A1	B3				
PP3	Failure to develop a robust procurement strategy & implementation procedure		B2	D3		- strategy & procedure in place and all mgrs adhering to the principles - greater efficiency gains, both cashable and non cashable.		

<b>Title: IT, eGovernment and CS</b>	<b>KPG: PIE</b>	<b>Officers: David Thorpe, Andy Munro</b>
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Risk No.	Description	Initial Score	Current Score	Target Score	Management Action Planned	Critical Success Factors	Key Dates	Monitoring Progress
IT1	Major failure of all/large number of systems due to ERDM integration.		C1	D3	- Tighter project controls (esp. dependencies) needed to reduce risk. - Assign Project Manager if appointed. - Deliver through middleware solution to mitigate risk	No failure	Rollout of ERDM	
IT2	Market forces supplement ceases leading to staff shortages (Two developers		B2	E3		Continuation of market forces	Mar 2007	

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	left when JE introduced. These staff have highly transferable and desirable skills.)							
IT3	Anti-virus software will no longer be updated for Windows 95/98 PCs (Risk gradually increases as software becomes more out-of-date)		D1	D4	PC replacement underway. Should be completed by Summer 2007.	Windows 95/98 PCs replaced.	Aug 2007	
IT4	Cheque Printer fails.		B2	D3	Use of laser printers to replace existing printer. Controls will need reviewing	Printer replaced	None	