

# Capital Development and Project Management Risk Register Report

Entity: Capital Development and Project Management, Risk Assessment open, Current Risk version, Risk is open

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
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## Frank Morrison (Head of Capital Development and Building Control)

Items in Group: 14

Capital Development and Project Management	DPM17 Inadequate Information Management System	Inappropriate security systems; Inappropriate system for filing and archiving; Lack of appropriate corporate information management policy; Inconsistent approach	Loss of information; loss of credibility; data protection; Financial loss; Service disruption; Legal implications	Locked storage facilities Access controls Central computer directory for Capital Development Section Adherence to Retention & Disposal Policy for Service Area	3	3	9
Capital Development and Project Management	DPM6 Loss of key members of staff	Lack of career opportunities, staleness in present position, Loss of staff through Voluntary Severance or realignment to other service areas.	Loss of experience/knowledge, service disruption, impact on staff morale	Training Fostering good relations & team working Motivating Succession Planning Liaison with Director of Environment & Regeneration to ensure retention of sufficient staff resources Personal Development Plans	3	3	9

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Capital Development and Project Management	DPM8 Ineffective systems to ensure the appointment and management of competent Contractors & Consultants	Failure to adopt appropriate procurement and contractual arrangements; Lack of communication; Failure to monitor; Lack of awareness; Lack of planning	Poor service delivery; poor value for money; financial cost; litigation; Failure to comply with legislation; Loss of credibility	Adherence to Council procurement guidelines Weighted Scoring Matrix Use of Council Legal Service Adoption of OGC Project Management systems Pre-qualification vetting of potential tenderers Monitoring of performance Documented procedures for project procurement & capital arrangements Use of standard forms of contract e.g. NEC Use of CPD standard procurement tender documentation Liaison with Council Procurement Manager Professional Staff Training	2	4	8
Capital Development and Project Management	DPM11 Failure to meet external funding deadlines	Lack of knowledge; Lack of communication; Lack of forward planning by clients in respect of projects; Lack of resources	Failure to draw down funding; Council reputation; SEUPB penalties	Forward Planning Regular meetings & communication with clients Setting of realistic goals with external funders Regular resource reviews with Head of Service Regular project reviews by Capital and Corporate Working Group	2	4	8

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Capital Development and Project Management	DPM 12 Inadequate Health & Safety Management System	Lack of ownership / direction; Lack of awareness; Lack of training	Personal injury / death; Litigation; Financial Cost; Reputational Cost; Demoralised Staff.	Adherence to Health & Safety Regulations Staff awareness of roles and responsibilities ISO 18001 Departmental Health & Safety System Training Quarterly Departmental Health & Safety Meetings	2	4	8
Capital Development and Project Management	DPM20 Failure to safeguard against bribery	Lack of policies/procedures; Lack of awareness	Financial cost; Reputation	Documented procedures for project procurement & capital arrangements Project monitoring arrangements Gifts and Hospitality Policy QS certification of payments Fraud Awareness Training	2	4	8
Capital Development and Project Management	DPM13 Lack of robust cost management systems	Lack of clear strategy; Lack of funds; Lack of communication; Lack of experience / Knowledge; Poor brief from client; Lack of financial planning	Overspend; Financial Cost; Loss of credibility with external funders	Appointment of competent QS & Engineers to advise & provide cost information throughout project lifespan Professional awareness Scrutiny of estimates Agreed spend profiles with Finance Production & monitoring of global cost plans on projects through Project Board Regular resource reviews with Head of Service Compilation of comprehensive Consultant Brief and detailed works information for construction projects Regular project reviews by Capital and Corporate Working Group	2	3	6

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Capital Development and Project Management	DPM14 Absenteeism is not managed effectively	Poor working practices; Inadequate policies; Apathy; poor morale.	Poor morale; Financial cost; Service disruption.	Adherence to Council Sickness & Absence Policy	2	3	6
				Training to Line Managers on procedures under Council Attendance Policy			
				Awareness training to all staff			
Capital Development and Project Management	DPM16 Lack of awareness of community needs	Lack of consultation; lack of strategy. Lack of engagement in Community Planning process	Loss of credibility; Public disengagement.	Early community consultation on projects	2	3	6
				Regular reporting to Environment and Regeneration Committee			
				Participation in Community Planning processes			
				Regular project reviews by Capital and Corporate Working Group			
Capital Development and Project Management	DPM1 Inadequate IT Facilities	Lack of resources; Failure to review systems	Impact on Service Delivery	Audit & Review of systems & requests for upgrades if required	2	3	6
				Liaison with IT Section			
Capital Development and Project Management	DPM21 Poor communication with critical services (Planning, Utility Companies etc)	Lack of Planning; Unrealistic time limits; Unclear procedures; Lack of knowledge	Delayed delivery of projects; Client dissatisfaction; Loss of service; Loss of credibility	Liaison with Planning Service	2	3	6
				Adequate notice to utility companies & proactive management of site processes for utility connections			
				Fostering of good working relationships with utility companies			
Capital Development and Project Management	DPM22 Inadequate budgetary provision to meet expectations of commissioning managers	Insufficient funds currently assigned to overall capital budget to finance all current "live" projects	Frustration for commissioning managers and their project stakeholders; Reputation	All capital projects have been captured and schedules prepared to be reviewed by the Capital & Corporate Working Group. Priority and funding of projects to be determined by the group in accordance with overall capital budget.	2	3	6
Capital Development and Project Management	DPM18 Lack of effective communication with staff within service area	Lack of planning; Time.	Demoralised workforce;	Regular progress and resource meetings with all staff	2	2	4

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Capital Development and Project Management	DPM10 Inadequate training and professional development of staff	Lack of opportunities; Demands of service.	Unprofessional service; Litigation; Financial cost; Credibility.	Training Attendance at Professional Development events Informal knowledge sharing amongst staff Personal Development Plans	1	4	4