

SECTION ONE**Strategic Risk Register – All Scrutiny Panels**

May 2013

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
GREEN	3	Marginal	Low	Carol Chambers	Mark Naylor
<p>Risk Name: Organisational Development. Updated March 2013.</p> <p>Risk Description: Failure to maintain and develop appropriate policies and procedures for the effective recruitment, retention and management of employees.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Corporate induction programme. • Core Values and Leadership Behaviours Framework now in place. • New appraisal system is in place. • Weekly One Council Briefing issued to communicate key issues to all staff. • Recruitment procedures currently under review including the Recruitment pages of the website. • New corporate approach to development of training plans being introduced. <p>Actions:</p> <ul style="list-style-type: none"> • All policies/procedures are being reviewed on a cyclical basis. In the last quarter, the following policies have been updated: <ul style="list-style-type: none"> ○ Maternity, Paternity and Adoption ○ Relocation ○ Secondment ○ Pay ○ Restructure • Induction process has been reviewed and is scheduled to go to SMT on 8th April 2013 to be agreed. • Review of appraisal system being undertaken in May. • Performance Development Review's now substantially complete. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	5	Critical	Significant	Helen Briggs	Chris Jones
<p>Risk Name: Media Influence. Updated March 2013.</p> <p>Risk Description: Failure to manage the process of information/news release, resulting in adverse publicity within the local and national press.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Communications Officer is first point of contact; he has built up a good relationship with the press. • Communications Strategy includes a policy on dealing with enquiries from the press. • Communication is a standing item on the SMT agenda. Pro-active communication is discussed where relevant. • Use of press releases to put information across in the format we want. <p>Actions:</p> <ul style="list-style-type: none"> • No further action required at this time. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	10	Critical	Significant	Helen Briggs	Dave Brown
<p>Risk Name: Significant business interruption. Updated March 2013.</p> <p>Risk Description: Failure to be resilient should the Council face a number of key threats e.g. loss of key staff (skills/knowledge), loss of ICT, loss of data, loss of fuel, loss of utilities, loss of vehicles.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Review of business continuity management arrangements. • Business Continuity Plans now in place for key areas, for example: <ul style="list-style-type: none"> ○ Loss of Accommodation <p>Actions:</p> <ul style="list-style-type: none"> • New Policy Document, Business Impact Analysis and response plans compiled. • Testing of business continuity plans to be planned. • Review of BCP's completed by Operational Director, some minor actions to be resolved. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
GREEN	15	Critical	Very Low	SMT	SMT
<p>Risk Name: Contracted services</p> <p>Risk Description: Failure of a major contractor to provide key council services.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Liaison with contractors to monitor performance and overall financial stability. • Overview of their performance. • Annual company check undertaken. <p>Actions:</p> <ul style="list-style-type: none"> • Instigate monthly company checks for key contractors. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	17	Critical	High	Helen Briggs	Victoria Brambini
<p>Risk Name: Corporate Capital Strategy. Updated March 2013.</p> <p>Risk Description: Failure to plan and deliver capital projects within time-limited availability of the funding.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Project Management and governance arrangements in place. • Capital Allocations Project Board (Education) established. • Regular project board meetings taking place, involving school reps and officers/members. <p>Actions:</p> <ul style="list-style-type: none"> • CIL Infrastructure Projects List being detailed to form part of consultation on CIL. • Prioritisation process for projects pursuant to corporate strategic aims and objectives being developed. • Development of corporate capital investment strategy underway. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	18	Critical	High	Helen Briggs	Kendrew WG
<p>Risk Name: Cottesmore Base</p> <p>Risk Description: Not being prepared for the arrival of the Army.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Close liaison with the Army. <p>Actions:</p> <ul style="list-style-type: none"> • Cottesmore WG reactivated and relevant sub groups formed. • Police and other partners engaged. • Visit to Germany took place May 2012. • Induction pack prepared. • School admissions being progressed. • Lobbying for funding with LGA, DfE and CLG. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	20	Critical	High	Helen Briggs	Helen Briggs
<p>Risk Name: Political Leadership.</p> <p>Risk Description: Turbulence within the political leadership.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Succession planning. • Member development. <p>Actions:</p> <ul style="list-style-type: none"> • Regular 121's with Leader to discuss risks and mitigation. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	21	Critical	Significant	S Della Rocca/Carol Chambers	Andrea Grinney/Victoria Todd
<p>Risk Name: Welfare Reform. Updated March 2013.</p> <p>Risk Description: Failure to be prepared for the welfare reform changes.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • New local Council Tax scheme now in place. • Pro-active work undertaken with affected groups. • Hardship fund setup. • Tracking developments in respect of Universal Credit. <p>Actions:</p> <ul style="list-style-type: none"> • Continuous assessment of the impact on vulnerable people and the services they may require as a result of the changes. • Liaising with DWP over the role of the Local Authority in Universal Credit. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	27	Critical	Significant	Helen Briggs	Janet Bilby
<p>Risk Name: Retention and Recruitment of Senior Staff. Added January 2013.</p> <p>Risk Description: The increase in accusations made against officers who were unable to respond and, as a result, the retention of these staff and subsequent recruitment is a cause for concern.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • On-going support provided for members of staff. • Use of press releases/website to put information across to the public. <p>Actions:</p> <ul style="list-style-type: none"> • Independent report commissioned on the actions of RACP. • Resolution of special Council meeting – 10th January 2013. 					

SECTION THREE

Strategic Risk Register – People Directorate (Adult’s) Scrutiny Panel

May 2013

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	2	Critical	Significant	Carol Chambers	Jill Haigh
<p>Risk Name: Public Health</p> <ul style="list-style-type: none"> • Risk Description: Portfolio Holder for Health appointed within the Cabinet. • Structure and Delivery model agreed by cabinet on 8th January 2013. • Notification of funding for 2013/14 and 2014/15 received which is a substantial increase on the 2012/13 allocation. • Shadow Health and Wellbeing Board established in order to establish good relationships with partners. <p>Risk Controls:</p> <ul style="list-style-type: none"> • Monitoring by senior officers. <p>Actions:</p> <ul style="list-style-type: none"> • Monthly meetings taking place between LA Director and Director of Public Health. • Public Health consultant seconded to Rutland 0.2 and joined Directorate Management Team. • Leics. and Rutland Public Health Transition group established. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	14	Critical	Low	Carol Chambers	Wendy Poynton
<p>Risk Name: Safeguarding</p> <p>Risk Description: Failure to Safeguard (both Adults and Children).</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Processes and procedures in place to protect the most vulnerable. • Monthly financial monitoring by senior officers and update reports to Cabinet. • Panel decision on placements rather than single officer. • Revised supervision process to ensure early information. <p>Actions:</p> <ul style="list-style-type: none"> • Register of associate staff established to develop sustainable staffing in social care. • Strict application of the panel process. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	29	Critical	Low	Carol Chambers	Jill Haigh
<p>Risk Name: Adult Social Care consultation</p> <p>Risk Description: Failure to complete consultation on eligibility criteria and charges for Adult Social Care within required parameters which could have legal implications for the Local Authority (e.g. Judicial Review)</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Adult Social Care project board formed December 2012. This board meets fortnightly. • Dedicated team setup to manage the ASC reform programme, agreed by Cabinet in April 2013. • Detailed communications programme developed. <p>Actions:</p> <ul style="list-style-type: none"> • Regular updates to portfolio holder. • Detailed timeline and work plan devised. • Regular updates to DMT and SMT on consultation papers. • Briefings and regular updates for relevant staff and stakeholders. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	30	Critical	Low	Carol Chambers	Jill Haigh
<p>Risk Name: Residential Care Home fees.</p> <p>Risk Description: Failure to negotiate fee levels with external providers, which could have legal implications for the Local Authority (e.g. could lead to Judicial Review)</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Task and Finish group established in January 2013 to develop a costing tool and model for negotiations with EM Care and providers. <p>Actions:</p> <ul style="list-style-type: none"> • Regular updates to portfolio holder. • Briefings to Director (People's Directorate) 					