

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

| | Risk Ref | Impact | Likelihood | Risk Owner | Risk Manager |
|---|-----------------|---------------|-------------------|---------------------|---------------------|
| GREEN | 3 | Marginal | Low | Saverio Della Rocca | Janet Bilby |
| <p>Risk Name: Organisational Development. Updated May 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. Since the beginning of the year, the following policies have been updated: <ul style="list-style-type: none"> ○ Maternity, Paternity and Adoption ○ Relocation ○ Secondment ○ Pay ○ Restructure ○ Early Retirement ○ Equality and Diversity ○ Flexible Working | | | | | |

- Induction process has been reviewed, revised programme due to commence from June 2013.
- Review of appraisal system being undertaken in May.
- Performance Development Reviews now substantially complete.

| | Risk Ref | Impact | Likelihood | Risk Owner | Risk Manager |
|-------|----------|----------|-------------|--------------|--------------|
| AMBER | 5 | Critical | Significant | Helen Briggs | Chris Jones |

Risk Name: Media Influence. Updated March 2013.

Risk Description: Failure to manage the process of information/news release, resulting in adverse publicity within the local and national press.

Risk Controls:

- 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.

Actions:

- No further action required at this time.

| | Risk Ref | Impact | Likelihood | Risk Owner | Risk Manager |
|-------|----------|----------|-------------|--------------|--------------|
| AMBER | 10 | Critical | Significant | Helen Briggs | Dave Brown |

Risk Name: Significant business interruption. Updated May 2013.

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.

Risk Controls:

- Review of business continuity management arrangements.
- Business Continuity Plans now in place for key areas, for example:
 - Loss of Accommodation

Actions:

- New Policy Document, Business Impact Analysis and response plans compiled.
- Testing of business continuity plans to be carried out on 22nd May 2013.
- Review of BCP's completed by Operational Director, some minor actions to be resolved.

| | Risk Ref | Impact | Likelihood | Risk Owner | Risk Manager |
|-------|----------|----------|------------|------------|--------------|
| AMBER | 15 | Critical | Low | SMT | SMT |

Risk Name: Contracted services – Updated May 2013

Risk Description: Failure of a major contractor to provide key council services.

Risk Controls:

- Liaison with contractors to monitor performance and overall financial stability.
- Overview of their performance.
- Annual company check undertaken.

Actions:

- Instigate monthly company checks for key contractors.
- A review of financial check requirements as part of financial procedures to be undertaken.
- Review of debt management arrangements (inc. how on-going financial assessments should be undertaken).

| | Risk Ref | Impact | Likelihood | Risk Owner | Risk Manager |
|-------|----------|----------|------------|--------------|-------------------|
| AMBER | 17 | Critical | High | Helen Briggs | Victoria Brambini |

Risk Name: Corporate Capital Strategy. Updated May 2013.

Risk Description: Failure to plan and deliver capital projects within time-limited availability of the funding.

Risk Controls:

- 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.

Actions:

- CIL Infrastructure Projects List agreed, forms 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 – Strategy is to be presented to Cabinet on 18th June 2013.

| | Risk Ref | Impact | Likelihood | Risk Owner | Risk Manager |
|-------|----------|----------|------------|--------------|--------------|
| AMBER | 18 | Critical | High | Helen Briggs | Kendrew WG |

Risk Name: Cottesmore Base

Risk Description: Not being prepared for the arrival of the Army.

Risk Controls:

- Close liaison with the Army.

Actions:

- 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 |

Risk Name: Political Leadership.

Risk Description: Turbulence within the political leadership.

Risk Controls:

- Succession planning.
- Member development.

Actions:

- 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 May 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. • A Welfare Reform report is going to SMT on 28th May 2013 to update the management team on developments. • Council are attending a Benefit Cap National Implementation Planning Event in June 2013. | | | | | |

| | 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. | | | | | |

Actions:

- 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

| | Risk Ref | Impact | Likelihood | Risk Owner | Risk Manager |
|-------|-----------------|---------------|-------------------|-------------------|---------------------|
| AMBER | 2 | Critical | Significant | Carol Chambers | Jill Haigh |

Risk Name: Public Health

Risk Description: Not being prepared for the transfer of Public Health Services from the NHS to RCC in April 2013, including inadequate funding.

Risk Controls:

- 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.

Actions:

- 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 |

Risk Name: Safeguarding

Risk Description: Failure to Safeguard (both Adults and Children).

Risk Controls:

- 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.

Actions:

- Register of associate staff established to develop sustainable staffing in social care.
- Strict application of the panel process.

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|-------|----------|----------|------------|----------------|--------------|
| AMBER | 29 | Critical | Low | Carol Chambers | Jill Haigh |

Risk Name: Adult Social Care consultation – Added March 2013

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)

Risk Controls:

- 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.

Actions:

- 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 |

Risk Name: Residential Care Home fees. – Added March 2013

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)

Risk Controls:

- Task and Finish group established in January 2013 to develop a costing tool and model for negotiations with EM Care and providers.

Actions:

- Regular updates to portfolio holder.
- Briefings to Director (People's Directorate)