

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 August 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 					

- Appeals
- Disciplinary
- Induction process has been reviewed, revised programme has now commenced and new format Induction is being held on a monthly basis.
- Review of appraisal system on-going and is scheduled for completion in Sept/Oct 2013.
- 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 August 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 the plans has been carried out and areas for improvement have been identified. Outstanding actions to be reviewed by SMT in September 2013.
- One of the main recommendations is a familiarisation programme for key staff. This is planned for the Senior Managers Forum in October 2013.

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

Risk Name: Contracted services – Updated August 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).
- Contract procedure rules are being updated and arrangements around financial evaluations are to be tightened up.
- Guidance is to be issued on early warning signs to look out for.

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	17	Critical	High	Helen Briggs	Victoria Brambini
<p>Risk Name: Corporate Capital Strategy. Updated August 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 for each approved project. • Capital Allocations Project Board (Education) established to manage schools capital for work and pupil places. • Detailed capital programme financial recording and reporting to include forecasting anticipated receipts (inc. S106), grants and approved project. <p>Actions:</p> <ul style="list-style-type: none"> • CIL Infrastructure Projects List agreed, formed part of initial consultation on CIL. Reg 123 list to be prepared to refine projects and priorities. • Prioritisation process for all projects pursuant to corporate strategic aims and objectives to be developed. • Development of corporate capital investment strategy to be presented to Cabinet in due course, additional resourcing required to avoid further slippage 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	18	Critical	High	Helen Briggs	Kendrew WG
<p>Risk Name: Kendrew Barracks</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 August 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. Latest information from the DWP advises this will now be implemented in April 2014 in Rutland. • A Welfare Reform report went to SMT on 28th May 2013 to update the management team on developments. • Presentation on welfare reform given at Senior Managers Forum (July 2013) to advise senior managers of their role in the Welfare Reform process. • Benefit cap now implemented. This affects one household in Rutland. 					

	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. Updated August 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. • Further special Council meeting held on 29th July 2013, updating on progress to date. 					

SECTION THREE

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

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	2	Marginal	Significant	Carol Chambers	Jill Haigh
<p>Risk Name: Public Health – updated August 2013</p> <p>Risk Description: Managing the transition of Public Health to the Council from April 2013 and ensuring it is bedded in and funded appropriately.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • 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. • Health and Wellbeing Board established in order to establish good relationships with partners. <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 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 – updated August 2013</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. • Scrutiny and overview from the Safeguarding Boards. • Monthly performance and 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>					

- 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

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)