

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 business continuity plans was carried out on 22nd May 2013. An action plan has been produced and is being implemented.
- 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 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. • 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 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 in due course. 					

	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 TWO

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

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	1	Marginal	Significant	Carol Chambers	Mark Naylor
<p>Risk Name: Impact of Schools Converting to Academy Status.</p> <p>Risk Description: As the number of Rutland schools becoming Academies increases, so does the impact on the provision of central services by the Local Authority.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Monitoring by senior officers. <p>Actions:</p> <ul style="list-style-type: none"> • Maintain contacts in other LAs to share information. • Use existing information to model possible impact. • Review relationship with schools in the future. 					

	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

Risk Name: Safeguarding – updated August 2013

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

Risk Controls:

- 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.

Actions:

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