

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 or delayed asset disposals.</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

Risk Name: Retention and Recruitment of Senior Staff. Added January 2013. Updated August 2013.

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.

Risk Controls:

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

SECTION FOUR

Strategic Risk Register – Places Directorate Scrutiny Panel

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	7	Critical	Significant	Helen Briggs	Victoria Brambini
<p>Risk Name: Office Accommodation. Updated August 2013</p> <p>Risk Description: Fit for purpose and sufficient office accommodation.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Introduction of Power Perfector and other energy management initiatives are improving energy efficiency. • On-going works have improved wiring, loading on building and improved working environment in some areas. • Regular service and repairs to prolong the life of the heating system. • Implemented new phone system to improve the facilities for agile working. • Regular office inspections to monitor furniture layouts, to manage risks of low ceilings, beams, storage, trip hazards, etc. • Improvements to Fire Alarm system complete. <p>Actions:</p> <ul style="list-style-type: none"> • Continued encouragement of flexible working arrangements and review of workspaces. • Increased use of electronic systems rather than paper storage, initiation of paper-lite project to manage document retention. • Prioritised programme of improvements and decorations. • Options appraisal on heating distribution system replacement as invest to save. • Replacement of external fire escape stairs being designed and planned for install 2013. • Property rationalisation, marketing and review of alternative use of vacant assets underway. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
GREEN	11	Critical	Very low	Helen Briggs	Victoria Brambini
<p>Risk Name: Significant business interruption – loss of main site. Updated August 2013</p> <p>Risk Description: Failure to deliver key services should a significant business interruption lead to the loss of the main site.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Business Continuity Processes and procedures in place to protect the most vulnerable. <p>Actions:</p> <ul style="list-style-type: none"> • New Policy Document, Business Impact Analysis and response plans compiled. • Testing of business continuity plans has been carried out and outstanding actions will be reviewed by SMT in September 2013. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
GREEN	12	Marginal	Low	Helen Briggs	Victoria Brambini
<p>Risk Name: Catmose Campus. Updated August 2013</p> <p>Risk Description: Financial out-turn above budget due to prolonged contract and defect rectification management.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Budget monitoring procedures. • Regular updates of forecast outturn. • Analysis of contractor reports and performance and opportunities for challenge and cost recovery. • Utilisation of underspent grants on other projects to meet costs. • Continued liaison with Sport England to provide performance data to ensure receipt of final retention of grant <p>Actions:</p> <ul style="list-style-type: none"> • Completed forecast outturn based on final valuation, final balance agreed with contractor for settling • Completion of snagging anticipated September 2013. • Assessment of asbestos reports and legal advice, consider potential for recharge. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
GREEN	13	Marginal	Low	Helen Briggs	Victoria Brambini
<p>Risk Name: Local Plan (LP) formerly Local Development Framework. Updated August 2013.</p> <p>Risk Description: Delays in completion and adoption of key documents</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Annual Monitoring report (2012) published on progress of LP with housing trajectories and completions data. • Officer and Members Working Group on-going to facilitate decision making. • Realistic targets and milestones regularly reviewed • Monitor changing national planning policy. • Manage overall programme slippage resulting from additional work (Article 4 Directions, Neighbourhood Plans, SPDs). • Core strategy adopted July 2011 and Site Allocations Proposed Submission out to consultation prior to EIP Oct 2013. • Implications of National Policy Framework embedded. • Local Development Scheme report to Cabinet May 2013. • Liaise with Parishes on Neighbourhood plans to align with Site Allocations. <p>Actions:</p> <ul style="list-style-type: none"> • Evidence based report updates. Retail assessments, employment land assessment. • Additional Resourcing in place to progress extended workloads (NPs, CIL). • Programme and resources review to balance objectives of time vs. cost. • Comprehensive review of Draft UNP identifying issues requires further input on second consultation to ensure conformity and soundness and provide additional support to examination. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
GREEN	19	Marginal	Low	Helen Briggs	Victoria Brambini
<p>Risk Name: Significant Planning Applications delayed. Updated August 2013.</p> <p>Risk Description: Progression of major planning applications and managing overlapping/competing schemes.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Appropriate legal and specialist planning/ S106 advice sought on individual applications. • SPD on developer contributions and Core Strategy adopted. • Affordable housing committed sum payments renewed and deferred payments scheme approved by Council April 2013 to avoid stalling development. 					

- Portfolio holder and SMT regularly advised of all new significant applications upon receipt and significant pre-app enquiries.
- S106 negotiations single lead allocated.
- Wind turbine and other SPDs prepared to support policy framework.

Actions:

- Major Application Steering Group to continue to review applications, timelines and heads of terms of S106.

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
GREEN	22	Critical	Very Low	Helen Briggs	Victoria Brambini

Risk Name: Digital Rutland – risk of non-delivery – Updated May 2013.

Risk Description: Failure to deliver improved broadband with resultant impact on economy and service transformation.

Risk Controls:

- Procurement of a strategic partner.
- BDUK funding in place.
- Alternative funding sources.
- State aid approval.
- Detailed Risk Register in place.
- Deployment management with BT and RCC project managers in place.

Actions:

- Change control proposals to be fully assessed and determined.
- Operational Governance Board to manage contract progress.
- Surveys underway to determine details of solutions and costs.
- Overview of planning applications for new cabinets and liaison with Parish Council where issues arise.
- Regular public communications as cabinets are deployed.
- BDUK liaison

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	23	Marginal	Significant	Helen Briggs	Victoria Brambini
<p>Risk Name: Development of Oakham Enterprise Park delayed. Updated August 2013</p> <p>Risk Description: To ensure that the future use of the site supports the Council's growth strategy.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Planning policy review, SPD adopted by Council January 2013, and Planning Consent achieved. • Project Board in place to manage decisions, key actions and programme. Dedicated project Management resource to be appointed. • Community communication and business engagement to measure demand. • Site management protocols in place for access and surveys. • Council approval of capital budget and business plans <p>Actions:</p> <ul style="list-style-type: none"> • Financial model for business park to be updated as costs and rentals assessed. • Consultant and contractor procurement. • Detailed Risk Register in place, managed by Project Board. • Draft precedent leases and heads of terms matrix developed and first leases being prepared. • Framework contractor commencing on site on Target Cost contract. Demolition mobilised. • Refurbs to suit tenant needs commencing • Sport England stage 2 bid submission for November. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	25	Critical	Significant	Helen Briggs	Dave Brown
<p>Risk Name: Local Sustainable Transport Bid. Added January 2013, updated August 2013.</p> <p>Risk Description: Implementation delays, failure to deliver within funding limits.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Project Manager appointed. • Project Board approved and meeting monthly (PRINCE2 governance). • Risk register developed and reviewed monthly. • WorkLink and ShoreLink services in operation. • Outline design for Interchange approved and contractor appointed. 					

Actions:

- On-going dialogue with DfT and delivery partners.
- Transport interchange planning application to be submitted in August 2013.
- Usage of services being monitored.

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
GREEN	26	Critical	Very Low	Helen Briggs	Dave Brown

Risk Name: Cellar Collapse. Added January 2013.

Risk Description: Collapse of private cellars under public highways.

Risk Controls:

- Will be dealt with on a reactive basis.
- Code of practice for structural maintenance reviewed.
- Recommended procedure is reactive given history of incidents in Rutland.

Actions:

- No further actions required.

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
GREEN	28	Marginal	Low	Helen Briggs	Victoria Brambini

Risk Name: Housing Stock Transfer Warranties and Residual Environmental Liabilities. Updated April 2013.

Risk Description: Management of residual liabilities relating to contaminated land and building materials, flooding, demolition and redevelopment.

Risk Controls:

- Environmental Insurance in place and renewed annually.
- Review of annual reports from Spire.

Actions:

- Annual renewal of insurance.
- Asbestos Management Strategy and expenditure programme requested and awaited.
- Strategic dialogue with Spire of redevelopment programme.