

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

|   | <b>Risk Ref</b> | <b>Impact</b> | <b>Likelihood</b> | <b>Risk Owner</b> | <b>Risk Manager</b> |
|---|-----------------|---------------|-------------------|-------------------|---------------------|
| GREEN   | 3               | Marginal      | Low               | Debbie Mogg       | Carol Snell         |
| <p><b>Risk Name:</b> Organisational Development. Updated November 2013.</p> <p><b>Risk Description:</b> Failure to maintain and develop appropriate policies and procedures for the effective recruitment, retention and management of employees.</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Corporate induction programme (recently updated).</li> <li>• Core Values and Leadership Behaviours Framework now in place.</li> <li>• An appraisal system is in place and has been streamlined to take account of feedback.</li> <li>• Weekly One Council Briefing issued to communicate key issues to all staff.</li> <li>• Recruitment procedures currently under review including the Recruitment pages of the website.</li> <li>• New corporate approach to development of training plans introduced for 2013/14.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• 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"> <li>○ Maternity, Paternity and Adoption</li> <li>○ Relocation</li> <li>○ Secondment</li> <li>○ Pay</li> <li>○ Restructure</li> <li>○ Early Retirement</li> <li>○ Equality and Diversity</li> <li>○ Flexible Working</li> </ul> </li> </ul> |                 |               |                   |                   |                     |

- Appeals
- Disciplinary
- Second round of Performance Development Reviews underway with target completion date of end January 2014.

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

**Risk Name:** Media Influence. Updated November 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.
- CEO PA now has access to all necessary communication tools.
- Prior to leave, meetings planned to address absence.

**Actions:**

- Communications Strategy being updated.
- Resources Scrutiny Panel reviewed leave arrangements November 2013.

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

**Risk Name:** Significant business interruption. Updated November 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:**

- A Business Impact Assessment (BIA) has been carried out to determine which services are critical, how quickly they must be restored and the minimum resources required.
- An incident management plan has been prepared which defines a structure to:

- Confirm the nature and extent of any incident;
- Take control of the situation;
- Contain the incident; and
- Communicate with stakeholders.
- Specific response plans are in place for the key threats (listed above in Risk Description).

**Actions:**

- Business Impact Analysis (BIA) to be reviewed in December 2013.
- Testing of the plans has been carried out and areas for improvement have been identified. Outstanding actions reviewed by SMT in September 2013 – now completed and necessary follow up actions being completed.
- One of the main recommendations is a familiarisation programme for key staff. This is planned for the Senior Managers Forum in December 2013.

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

**Risk Name:** Contracted services – Updated November 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.
- Periodic checks undertaken if there are warning signals

**Actions:**

- 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 update adopted and arrangements around financial evaluations tightened up.
- Toolkit being prepared and guidance is to be issued on early warning signs to look out for and to be included in Procurement guide which supports Contract Procedure Rules.

|  | Risk Ref | Impact   | Likelihood | Risk Owner   | Risk Manager      |
|--|----------|----------|------------|--------------|-------------------|
| AMBER  | 17       | Critical | High       | Helen Briggs | Victoria Brambini |
| <p><b>Risk Name:</b> Corporate Capital Strategy. Updated November 2013.</p> <p><b>Risk Description:</b> Failure to plan and deliver capital projects within time-limited availability of the funding.</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Project Management and governance arrangements in place for each approved project.</li> <li>• Capital Allocations Project Board (Education) established to manage schools capital for work and pupil places.</li> <li>• Detailed capital programme financial recording and reporting to include forecasting anticipated receipts (inc. S106), grants and approved project.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• CIL Infrastructure Projects List agreed, formed part of initial consultation on CIL. Reg 123 list being prepared to refine projects and priorities.</li> <li>• Prioritisation process for all projects pursuant to corporate strategic aims and objectives to be developed.</li> <li>• Development of corporate capital investment strategy to be presented to Cabinet in due course, additional resourcing required to progress.</li> </ul> |          |          |            |              |                   |

|  | Risk Ref | Impact   | Likelihood | Risk Owner   | Risk Manager |
|--|----------|----------|------------|--------------|--------------|
| AMBER  | 18       | Critical | High       | Helen Briggs | Kendrew WG   |
| <p><b>Risk Name:</b> Kendrew and St. Georges Barracks. Updated November 2013.</p> <p><b>Risk Description:</b> Not being prepared for the arrival of the Army.</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Close liaison with the Army.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Kendrew WG meeting and in November will be extended to cover St. Georges Barracks.</li> <li>• Police and other partners engaged.</li> <li>• Visit to Germany planned for February 2014 to meet with new regiments due to arrive in St. Georges.</li> <li>• Induction pack will be reviewed and updated.</li> <li>• School contact being reviewed and planned for next wave of changes.</li> <li>• Contact established with Hampshire CC to assist in transition for 16<sup>th</sup> Regiment.</li> </ul> |          |          |            |              |              |

- Initial meetings taken place with 1<sup>st</sup> Working Dogs and 2<sup>nd</sup> Medical Regiments.
- 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 |

**Risk Name:** Welfare Reform. Updated November 2013.

**Risk Description:** Failure to be prepared for the welfare reform changes.

**Risk Controls:**

- New local Council Tax scheme now in place and reviewed (no changes planned for 2013/14).
- Pro-active work undertaken with affected groups.
- Hardship fund setup.
- Tracking developments in respect of Universal Credit.

**Actions:**

- 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.
- Review of Hardship Fund being undertaken to assess whether changes are required.

|  | <b>Risk Ref</b> | <b>Impact</b> | <b>Likelihood</b> | <b>Risk Owner</b> | <b>Risk Manager</b> |
|--|-----------------|---------------|-------------------|-------------------|---------------------|
| AMBER  | 27              | Critical      | Significant       | Helen Briggs      | Carol Snell         |
| <p><b>Risk Name:</b> Retention and Recruitment of Senior Staff. Added January 2013. Updated November 2013.</p> <p><b>Risk Description:</b> 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><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• On-going support provided for members of staff.</li> <li>• Use of press releases/website to put information across to the public.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Independent report commissioned on the actions of RACP.</li> <li>• Resolution of special Council meeting – 10<sup>th</sup> January 2013.</li> <li>• Further special Council meeting held on 29<sup>th</sup> July 2013, updating on progress to date.</li> </ul> |                 |               |                   |                   |                     |

## 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><b>Risk Name:</b> Office Accommodation. Updated November 2013</p> <p><b>Risk Description:</b> Fit for purpose and sufficient office accommodation.</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• On-going works have improved wiring, loading on building and improved working environment in some areas.</li> <li>• Regular service and repairs to prolong the life of the heating system.</li> <li>• Regular office inspections to monitor furniture layouts, to manage risks of low ceilings, beams, storage, trip hazards, etc.</li> <li>• Improvements to Fire Alarm system complete.</li> <li>• Staff safety and security through access control.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Continued encouragement of flexible working arrangements and review of workspaces.</li> <li>• Increased use of electronic systems rather than paper storage, initiation of paper-lite project to manage document retention.</li> <li>• Prioritised programme of improvements and decorations.</li> <li>• Options appraisal on heating distribution system replacement as invest to save.</li> <li>• Replacement of external fire escape stairs being designed and planned for install 2013.</li> <li>• Property rationalisation, marketing and review of alternative use of vacant assets underway.</li> <li>• Security systems review report, system upgrade likely to be required.</li> </ul> |          |          |             |              |                   |

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

|   | Risk Ref | Impact   | Likelihood  | Risk Owner   | Risk Manager      |
|---|----------|----------|-------------|--------------|-------------------|
| GREEN   | 12       | Marginal | Significant | Helen Briggs | Victoria Brambini |
| <p><b>Risk Name:</b> Catmose Campus. Updated November 2013</p> <p><b>Risk Description:</b> Financial out-turn above budget due to prolonged contract and defect rectification management requiring the retention of specialist consultants.</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Budget and rectification process monitoring procedures.</li> <li>• Regular updates of forecast outturn.</li> <li>• Analysis of contractor reports and performance and opportunities for challenge and cost recovery.</li> <li>• Utilisation of underspent grants on other projects to meet costs.</li> <li>• Continued liaison with Sport England to provide performance data to ensure receipt of final retention of grant</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Completed forecast outturn based on final valuation, final balance agreed with contractor for settling, on-going monitoring costs associated with prolonged defect rectification period.</li> <li>• A majority of the snagging completed over summer holidays, some remedial works completed did not resolve underlying issues (leaks) and further works now required.</li> <li>• Assessment of asbestos reports and legal advice relating to land transferred to develop, consideration of potential for recharge and cost recovery.</li> </ul> |          |          |             |              |                   |

|   | Risk Ref | Impact   | Likelihood | Risk Owner   | Risk Manager      |
|---|----------|----------|------------|--------------|-------------------|
| GREEN   | 13       | Marginal | Low        | Helen Briggs | Victoria Brambini |
| <p><b>Risk Name:</b> Local Plan (LP) formerly Local Development Framework. Updated November 2013.</p> <p><b>Risk Description:</b> Delays in completion and adoption of key documents</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Annual Monitoring reports on progress of LP with housing trajectories and completions data (inc. quarterly data for New Homes Bonus forecasting).</li> <li>• Officer and Members Working Group on-going to facilitate decision making.</li> <li>• Realistic targets and milestones regularly reviewed</li> <li>• Monitor changing national planning policy.</li> <li>• Manage overall programme slippage resulting from additional work (Article 4 Directions, Neighbourhood Plans, SPDs).</li> <li>• Core strategy adopted July 2011 and Site Allocations examination in public Nov 2013.</li> <li>• Implications of National Policy Framework embedded.</li> <li>• Liaise with Parishes on Neighbourhood plans to align with Site Allocations.</li> <li>• Review of Statement on Community Involvement.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Evidence based report updates. Retail assessments, employment land assessment.</li> <li>• Additional Resourcing in place to progress extended workloads (NPs, CIL).</li> <li>• Programme and resources review to balance objectives of time vs. cost.</li> <li>• Preparation for EIP including Housing Land Supply review.</li> </ul> |          |          |            |              |                   |

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

- 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 November 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.
- 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 |

**Risk Name:** Development of Oakham Enterprise Park delayed. Updated November 2013

**Risk Description:** To ensure that the future use of the site supports the Council's growth strategy.

**Risk Controls:**

- 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 Business Manager 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.
- Engagement with community sports clubs to promote use of sports hall.
- Clear Business Plan for Sports Centre.

**Actions:**

- 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 prepared.
- Framework contractor on site on Target Cost contract. Demolition underway.
- Refurbs to suit tenant needs commencing.
- Sport England stage 2 bid submitted by deadline.
- Broadband solution to be developed.

|       | Risk Ref | Impact   | Likelihood  | Risk Owner   | Risk Manager |
|-------|----------|----------|-------------|--------------|--------------|
| AMBER | 25       | Critical | Significant | Helen Briggs | Dave Brown   |

**Risk Name:** Local Sustainable Transport Bid. Added January 2013, updated November 2013.

**Risk Description:** Implementation delays, failure to deliver within funding limits.

**Risk Controls:**

- Project Manager appointed.
- Project Board approved and meeting monthly (PRINCE2 governance).
- Risk register developed and reviewed monthly.

**Actions:**

- On-going dialogue with DfT and delivery partners.
- WorkLink and ShoreLink services in operation and usage of services being monitored
- Planning consent granted, contractor appointed and work commenced on Oakham Bus Station.
- First year of cycleway improvements agreed by Cabinet.

|  | Risk Ref | Impact   | Likelihood | Risk Owner   | Risk Manager |
|--|----------|----------|------------|--------------|--------------|
| GREEN  | 26       | Critical | Very Low   | Helen Briggs | Dave Brown   |
| <p><b>Risk Name:</b> Cellar Collapse. Added January 2013, updated November 2013.</p> <p><b>Risk Description:</b> Collapse of private cellars under public highways.</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Code of practice for structural maintenance reviewed.</li> <li>• Recommended procedure is reactive, given history of incidents in Rutland.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• No further actions required.</li> <li>• No further incidents have occurred.</li> </ul> |          |          |            |              |              |

|   | Risk Ref | Impact   | Likelihood | Risk Owner   | Risk Manager      |
|---|----------|----------|------------|--------------|-------------------|
| GREEN   | 28       | Marginal | Low        | Helen Briggs | Victoria Brambini |
| <p><b>Risk Name:</b> Housing Stock Transfer Warranties and Residual Environmental Liabilities. Updated November 2013.</p> <p><b>Risk Description:</b> Management of residual liabilities relating to contaminated land and building materials, flooding, demolition and redevelopment.</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Environmental Insurance in place and renewed annually.</li> <li>• Obtain and review of annual reports from Spire.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Annual renewal of insurance (9<sup>th</sup> November).</li> <li>• Analysis of Asbestos Management Strategy and expenditure programme.</li> <li>• Strategic dialogue with Spire of redevelopment programme.</li> </ul> |          |          |            |              |                   |