

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

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
GREEN	3	Marginal	Low	Debbie Mogg	Carol Snell
<p>Risk Name: Organisational Development. Updated February 2014.</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 (recently updated). • Core Values and Leadership Behaviours Framework now in place. • A Performance Development Framework is in place and has been streamlined to take account of feedback. • Weekly One Council Briefing issued to communicate key issues to all staff. • Recruitment procedures currently under review including the Recruitment pages of the website. • Corporate training plan driven by the needs identified though the Performance Development Review process and corporate needs identified by SMT. <p>Actions:</p> <ul style="list-style-type: none"> • All policies/procedures are being reviewed on a cyclical basis. Council recently approved 12 updated policies. • Second round of Performance Development Reviews underway with target completion date of end January 2014/early Feb. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	5	Critical	Significant	Helen Briggs	Chris Jones
<p>Risk Name: Media Influence. Updated November 2013.</p> <p>Risk Description: Failure to manage the process of information/news release, resulting in adverse publicity within the local and national press.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • 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. <p>Actions:</p> <ul style="list-style-type: none"> • 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
<p>Risk Name: Significant business interruption. Updated February 2014.</p> <p>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.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • 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: <ul style="list-style-type: none"> ○ 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:

- The Business Impact Assessment (BIA) is currently under review. This will be complete by April 2014.
- Testing of the plans has been carried out and areas for improvement have been identified. Outstanding actions were reviewed by SMT in September 2013 and the plans were updated. The plans will be reviewed again on completion of the revised BIA.

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

Risk Name: Contracted services. Updated February 2014.

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) to be completed.

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	17	Critical	High	Helen Briggs	Victoria Brambini
<p>Risk Name: Corporate Capital Strategy. Updated February 2014.</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. Review of CIL proposals as government regulations emerge. • 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 progress. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	18	Critical	High	Helen Briggs	Kendrew WG
<p>Risk Name: Kendrew and St. Georges 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"> • Kendrew WG meeting and in November will be extended to cover St. Georges Barracks. • Police and other partners engaged. • Visit to Germany planned for February 2014 to meet with new regiments due to arrive in St. Georges. • Induction pack will be reviewed and updated. • School contact being reviewed and planned for next wave of changes. • Contact established with Hampshire CC to assist in transition for 16th Regiment. 					

- Initial meetings taken place with 1st Working Dogs and 2nd 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: Preparation for next Council following Election in 2015. Updated February 2014.

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 February 2014.

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 for 2014/15).
- 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 2016 in Rutland.
- Review of Hardship Fund being undertaken, no changes required.

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	27	Critical	Significant	Helen Briggs	Carol Snell
<p>Risk Name: Retention and Recruitment of Senior Staff. Updated February 2014.</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 RGUKIP. • 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 February 2014</p> <p>Risk Description: Fit for purpose and sufficient office accommodation.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • 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. • Regular office inspections to monitor furniture layouts, to manage risks of low ceilings, beams, storage, trip hazards, etc. • Improvements to Fire Alarm system complete. • Staff safety and security through access control. <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 2013/14. • Property rationalisation, marketing and review of alternative use of vacant assets carried out. Alternative use for Pinewood agreed. Catmose Cottage on hold pending review of museum/library and people review. Opportunities for relocation through integration with Health. • Security systems review report, system upgrade may be required. 					

	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 November 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 and promote resources and services. <p>Actions:</p> <ul style="list-style-type: none"> • New Policy Document, Business Impact Analysis and response plans compiled. • Testing of business continuity plans to be carried out, outstanding actions to be reviewed by SMT. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	12	Marginal	Significant	Helen Briggs	Victoria Brambini
<p>Risk Name: Catmose Campus. Updated February 2014</p> <p>Risk Description: Financial out-turn above budget due to prolonged contract and defect rectification management requiring the retention of specialist consultants. Remaining defects still outstanding moves litigious actions to resolution.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Budget and rectification process 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 is being collated and final balance agreed with contractor for settling. • On-going monitoring costs associated with prolonged defect rectification period to be submitted for cost recovery claim. • Final release of grant from Sport England submitted January 2014 expected, payment pending. • Final list of significant defects require contractor solutions and programme to be agreed. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	13	Marginal	Significant	Helen Briggs	Victoria Brambini
<p>Risk Name: Local Plan (LP) formerly Local Development Framework. Updated February 2014.</p> <p>Risk Description: Delays in completion and adoption of key documents and a legal challenge from a developer to the Site Allocations document.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Annual Monitoring reports on progress of LP with housing trajectories and completions data (inc. quarterly data for New Homes Bonus forecasting). • 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 examination in public Nov 2013. • Implications of National Policy Framework embedded. • Liaise with Parishes on Neighbourhood plans to align with Site Allocations. • Review of Statement on Community Involvement. <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. • Preparation for EIP including Housing Land Supply review. • Preparation of proposed modifications of the Site Allocations document in consultation with the Planning Inspector • Liaison with Peterborough City Council (legal) to obtain legal advice, as appropriate. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
GREEN	19	Marginal	Low	Helen Briggs	Dave Brown
<p>Risk Name: Significant Planning Applications delayed. Updated February 2014.</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 commuted 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. <p>Actions:</p> <ul style="list-style-type: none"> • 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
<p>Risk Name: Digital Rutland – risk of non-delivery – Updated November 2013.</p> <p>Risk Description: Failure to deliver improved broadband with resultant impact on economy and service transformation.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • 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. <p>Actions:</p> <ul style="list-style-type: none"> • 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 February 2014

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:

- Business Plan update as costs and rental assessed (capital and revenue)
- Consultant and contractor procurement.
- Detailed Risk Register in place, managed by Project Board.
- Framework contractor on site on Target Cost contract. Demolition completed, final stage of works February 2014.
- Processes to carry out refurbs to suit tenant needs on next phase commencing
- Sport England Funding Agreement to be completed.
- Broadband solution deployed, completion February 2014.
- Active Recreation Centre opening November 2014.
- Options appraisal for new development land.
- Process for estimates of Rateable values to be improved to guide tenants.

	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 February 2014.</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. <p>Actions:</p> <ul style="list-style-type: none"> • 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	28	Marginal	Low	Helen Briggs	Victoria Brambini
<p>Risk Name: Housing Stock Transfer Warranties and Residual Environmental Liabilities. Updated November 2013.</p> <p>Risk Description: Management of residual liabilities relating to contaminated land and building materials, flooding, demolition and redevelopment.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Environmental Insurance in place and renewed annually. • Obtain and review of annual reports from Spire. <p>Actions:</p> <ul style="list-style-type: none"> • Annual renewal of insurance (9th November). 					

- Analysis of Asbestos Management Strategy and expenditure programme.
- Strategic dialogue with Spire of redevelopment programme.