

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 May 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 					

- Induction process has been reviewed, revised programme due to commence from June 2013.
- Review of appraisal system being undertaken in May.
- 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 May 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 to be planned.
- Review of BCP's completed by Operational Director, some minor actions to be resolved.
- A Business Continuity exercise is scheduled for 22nd May 2013.

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

Risk Name: Contracted services – Updated May 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).

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	17	Critical	High	Helen Briggs	Victoria Brambini

Risk Name: Corporate Capital Strategy. Updated May 2013.

Risk Description: Failure to plan and deliver capital projects within time-limited availability of the funding.

Risk Controls:

- 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.

Actions:

- CIL Infrastructure Projects List being detailed to form 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 on 18th June 2013.

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	18	Critical	High	Helen Briggs	Kendrew WG

Risk Name: Cottesmore Base

Risk Description: Not being prepared for the arrival of the Army.

Risk Controls:

- Close liaison with the Army.

Actions:

- 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

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
<p>Risk Name: Welfare Reform. Updated May 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. • A Welfare Reform report is going to SMT on 28th May 2013 to update the management team on developments. • Council are attending a Benefit Cap National Implementation Planning Event in June 2013. 					

	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.</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.

Actions:

- Independent report commissioned on the actions of RACP.
- Resolution of special Council meeting – 10th January 2013.

SECTION FIVE

Strategic Risk Register – Resources Directorate Scrutiny Panel

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	4	Critical	Significant	Helen Briggs	Debbie Mogg

Risk Name: Member Development. Updated May 2013.

Risk Description: Failure to provide timely and relevant training and development to Members to enable them to undertake their roles effectively.

Risk Controls:

- Ad hoc training on specific issues/policies as needed.
- Job descriptions for portfolio holders.
- Support to members through RIEP and leadership centre development programme.
- Induction programme for all members has been delivered.

Actions:

- A programme of specific training is currently being compiled.
- Some elements of the training programme will be:
 - A mixture of briefing topics on matters of current interest (eg. Public Health legislation).
 - Sessions organised through East Midlands Councils covering decision making on areas like Appeals and Finance.
 - Advice on dealing with Fraud Awareness and Code of Conduct issues/enquiries.
- Evaluation of the training provided and ongoing assessment of any further needs.
 - The Head of Internal Audit Consortium has suggested a training plan for members of Audit and Risk Committee which is currently being reviewed.
- Following Annual Council, a review is to be conducted of whether Members of new committees/panels have already received relevant training.

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	6	Critical	Significant	Saverio Della Rocca	Debbie Mogg
<p>Risk Name: Responding to new legislation. Updated May 2013.</p> <p>Risk Description: Failure to identify and prepare for new legislation and the impact it may have on service delivery.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • Responsibility for responding to new legislation is included in the job descriptions of all Strategic Management Team Members. • This is part of the role of the Monitoring Officer. • SLA with legal services includes identification and advice on new legislation. <p>Actions:</p> <ul style="list-style-type: none"> • Regular updates are taken to Cabinet as legislation develops and the impact on RCC is understood. • In the last Quarter the Council has agreed action in response to various changes in legislation, including: <ul style="list-style-type: none"> ○ Local Council Tax Support Scheme. ○ Community Right to Bid. ○ Local Financial Crisis Support. ○ Community Infrastructure Levy. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	9	Critical	Significant	Saverio Della Rocca	Mike Baish
<p>Risk Name: Financial Position. Updated May 2013.</p> <p>Risk Description: Failure to keep the Medium Term Financial Plan (MTFP) in balance.</p> <p>Risk Controls:</p> <ul style="list-style-type: none"> • 5 year MTFP updated after Local Government settlement (January 2013). • Cabinet sponsored savings programme in place – key savings projects identified. • MTFP reflects changes to financial environment e.g. business rates retention is now factored in. • Potential savings projects also identified – will be pursued if required. • Robust financial management. • Monitoring of achievement of New Homes being undertaken monthly. 					

- Monitor of business rates retention being undertaken monthly.
- Use of reserves.

Actions:

- Close monitoring of savings achievement – to be formally reported in Quarter 1 2013/14.
- Implement agreed savings projects.
- Keep MTFP updated.