

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

Risk Name: Corporate Capital Strategy. Updated August 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 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

Risk Name: Kendrew Barracks

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

Risk Name: Welfare Reform. Updated August 2013.

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

Risk Controls:

- 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.

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.
- 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 all 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 FIVE

Strategic Risk Register – Resources Directorate Scrutiny Panel

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	4	Critical	Significant	Helen Briggs	Debbie Mogg
<p>Risk Name: Member Development. Updated August 2013.</p> <p>Risk Description: Failure to provide timely and relevant training and development to Members to enable them to undertake their roles effectively.</p> <p>Risk Controls:</p> <ul style="list-style-type: none">• 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. <p>Actions:</p> <ul style="list-style-type: none">• Training being delivered throughout the year as required:<ul style="list-style-type: none">○ A mixture of briefing topics on matters of current interest (e.g. 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 on-going assessment of any further needs.<ul style="list-style-type: none">○ The Head of Internal Audit Consortium has suggested a training plan for members of Audit and Risk Committee which is currently being reviewed.					

	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 August 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 – review paper going to Cabinet 3rd Sept. ○ Local Financial Crisis Support – in place and will be reviewed in the Autumn. 					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	9	Critical	Significant	Saverio Della Rocca	Mike Baish
<p>Risk Name: Financial Position. Updated August 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 Comprehensive Spending Review (July 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.