

**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 February 2014.</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>• A Performance Development Framework 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>• Corporate training plan driven by the needs identified though the Performance Development Review process and corporate needs identified by SMT.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• All policies/procedures are being reviewed on a cyclical basis. Council recently approved 12 updated policies.</li> <li>• Second round of Performance Development Reviews underway with target completion date of end January 2014/early Feb.</li> </ul>					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	5	Critical	Significant	Helen Briggs	Chris Jones
<p><b>Risk Name:</b> Media Influence. Updated November 2013.</p> <p><b>Risk Description:</b> Failure to manage the process of information/news release, resulting in adverse publicity within the local and national press.</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Communications Officer is first point of contact; he has built up a good relationship with the press.</li> <li>• Communications Strategy includes a policy on dealing with enquiries from the press.</li> <li>• Communication is a standing item on the SMT agenda. Pro-active communication is discussed where relevant.</li> <li>• Use of press releases to put information across in the format we want.</li> <li>• CEO PA now has access to all necessary communication tools.</li> <li>• Prior to leave, meetings planned to address absence.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Communications Strategy being updated.</li> <li>• Resources Scrutiny Panel reviewed leave arrangements November 2013.</li> </ul>					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	10	Critical	Significant	Helen Briggs	Dave Brown
<p><b>Risk Name:</b> Significant business interruption. Updated November 2013.</p> <p><b>Risk Description:</b> 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><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• An incident management plan has been prepared which defines a structure to: <ul style="list-style-type: none"> <li>○ Confirm the nature and extent of any incident;</li> <li>○ Take control of the situation;</li> <li>○ Contain the incident; and</li> <li>○ Communicate with stakeholders.</li> </ul> </li> <li>• Specific response plans are in place for the key threats (listed above in Risk Description).</li> </ul>					

**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	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><b>Risk Name:</b> Corporate Capital Strategy. Updated February 2014.</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. Review of CIL proposals as government regulations emerge.</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</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:** 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.

	<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. Updated February 2014.</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 RGUKIP.</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 FIVE**

**Strategic Risk Register – Resources Directorate Scrutiny Panel**

	<b>Risk Ref</b>	<b>Impact</b>	<b>Likelihood</b>	<b>Risk Owner</b>	<b>Risk Manager</b>
AMBER	4	Critical	Significant	Helen Briggs	Debbie Mogg

**Risk Name:** Member Development. Updated February 2014.

**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:**

- Training being delivered throughout the year as required:
  - 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, of which the first session was held in January.

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	6	Critical	Significant	SMT	SMT
<p><b>Risk Name:</b> Responding to new legislation. Updated November 2013.</p> <p><b>Risk Description:</b> Failure to identify and prepare for new legislation and the impact it may have on service delivery.</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Responsibility for responding to new legislation is included in the job descriptions of all Strategic Management Team Members.</li> <li>• This is part of the role of the Monitoring Officer.</li> <li>• SLA with Legal Services includes identification and advice on new legislation</li> <li>• Monitoring Officer circulates briefing on key legal developments so SMT are aware of changes that need to be prepared for.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Regular updates are taken to Cabinet as legislation develops and the impact on RCC is understood.</li> </ul>					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	9	Critical	Significant	Saverio Della Rocca	Saverio Della Rocca
<p><b>Risk Name:</b> Financial Position. Updated February 2014.</p> <p><b>Risk Description:</b> Failure to keep the Medium Term Financial Plan (MTFP) in balance.</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• 5 year MTFP updated and reported to Council after Local Government Settlement announced (January 2014).</li> <li>• Cabinet sponsored savings programme in place – key savings projects identified.</li> <li>• MTFP reflects changes to financial environment e.g. business rates retention is now factored in.</li> <li>• Potential savings projects also identified – will be pursued if required.</li> <li>• Robust financial management.</li> <li>• Monitoring of achievement of New Homes being undertaken monthly.</li> <li>• Monitor of business rates retention being undertaken monthly.</li> <li>• Use of reserves.</li> <li>• Advice sought from external bodies to test some of the underlying MTFP assumptions.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Close monitoring of savings achieved – reported quarterly.</li> </ul>					



