

**Strategic Risk Register June 2012**

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	1	Marginal	Significant	Carol Chambers	Mark Naylor
<p><b>Risk Name:</b> Impact of Schools Converting to Academy Status</p> <p><b>Risk Description:</b> As the number of Rutland schools becoming Academies increases, so does the impact on the provision of central services by the Local Authority</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Monitoring by senior officers.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Maintain contacts in other LAs to share information</li> <li>• Use existing information to model possible impact</li> <li>• Review relationship with schools in the future.</li> </ul>					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	2	Marginal	Significant	Carol Chambers	Mark Naylor
<p><b>Risk Name:</b> Public Health</p> <p><b>Risk Description:</b> Not being prepared for the transfer of Public Health Services from the NHS to RCC in April 2013, including inadequate funding</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Portfolio Holder for Health appointed within the Cabinet</li> </ul> <p>Shadow Health and Wellbeing Board established in order to establish good relationships with partners and new Clinical Commissioning Group.</p> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Monthly meetings taking place between LA Director and Director of Public Health</li> <li>• Public Health consultant seconded to Rutland 0.2 and joined Directorate Management Team</li> <li>• Rutland Public Health group established chaired by CC</li> <li>• Leics and Rutland Public Health Transition group established</li> </ul>					

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GREEN	3	Marginal	Low	Carol Chambers	Mark Naylor
<p><b>Risk Name:</b> Organisational Development</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</li> <li>• Core Values and Leadership Behaviours Framework now in place</li> <li>• Appraisal system has been overhauled and will be rolled out from June 2012</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> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Review currently underway to bring all HR policies and procedures up to date</li> <li>• Behaviours Framework to be developed and appraisal system reviewed</li> <li>• Induction process currently being reviewed to cover the first 6 months of employment covering all aspects including mandatory training courses.</li> </ul>					

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AMBER	4	Critical	Significant	Helen Briggs	Geoff Pook
<p><b>Risk Name:</b> Member Development</p> <p><b>Risk Description:</b> Failure to provide timely and relevant training and development to Members to enable them to undertake their roles effectively.</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Ad hoc training on specific issues/policies as needed.</li> <li>• Job descriptions for portfolio holders</li> <li>• Support to members through RIEP and leadership centre development programme</li> <li>• Induction programme for all members has been delivered.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• A programme of specific training is currently being compiled</li> <li>• Evaluation of the training provided and ongoing assessment of any further needs</li> </ul>					

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AMBER	5	Critical	Significant	Helen Briggs	Chris Jones
<p><b>Risk Name:</b> Media Influence</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>• Use of press releases to put information across in the format we want.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• No further action required at this time</li> </ul>					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	6	Critical	Significant	Debbie Mogg	Geoff Pook
<p><b>Risk Name:</b> Responding to new legislation</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> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Regular updates will be taken to Cabinet as legislation develops and the impact on RCC is understood</li> </ul>					

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AMBER	7	Critical	Significant	Aman Mehra	Victoria Brambini
<p><b>Risk Name:</b> Office Accommodation</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>• Introduction of Power perfector and other energy management initiatives are improving energy efficiency</li> <li>• Ongoing works have improved wiring, loading on building and improved working environment in some areas</li> <li>• Regular service and repairs to maintain the life of the heating system</li> <li>• Recent Big Move project has resulted in zoning of Directorates but has created some overcrowding problems</li> <li>• Implementation of new phone system has improved the facilities for agile working</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</li> <li>• Prioritised programme of improvements.</li> <li>• Options appraisal on heating distribution system replacement as invest to save</li> <li>• Improvements to Fire Alarm system being deployed</li> <li>• Property rationalisation, marketing of surplus requirements underway</li> </ul>					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	9	Critical	Significant	Debbie Mogg	Sharon Dring
<p><b>Risk Name:</b> Financial Position</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 in place rather than 3 year</li> <li>• MTFP set up for use as a financial modelling tool</li> <li>• Use of reserves</li> <li>• Robust financial management</li> <li>• Efficiency savings programme</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Close monitoring of savings achievement</li> <li>• Star Chamber process to commence early summer 2012 to start to develop longer term savings plans to address the deficit in the later years of the MTFP</li> </ul>					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	10	Critical	Significant	Helen Briggs	Aman Mehra
<p><b>Risk Name:</b> Significant business interruption</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>• Review of business continuity management arrangements</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• New Policy Document, Business Impact Analysis and response plans being compiled</li> <li>• Testing of business continuity plans</li> </ul>					

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GREEN	11	Catastrophic	Very low	Aman Mehra	Victoria Brambini
<p><b>Risk Name:</b> Significant business interruption – loss of main site</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</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• New Policy Document, Business Impact Analysis and response plans being compiled</li> <li>• Testing of business continuity plans</li> </ul>					

	<b>Risk Ref</b>	<b>Impact</b>	<b>Likelihood</b>	<b>Risk Owner</b>	<b>Risk Manager</b>
RED	12	Critical	Very high	Aman Mehra	Victoria Brambini
<p><b>Risk Name:</b> Catmose Campus</p> <p><b>Risk Description:</b> Financial out-turn above budget due to prolonged contract, service connections and archaeology / asbestos issues</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Budget monitoring procedures</li> <li>• Review Forecast outturn</li> <li>• Analysis of contractor reports and opportunities for challenge or recovery</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Forecast outturn return pending agreement of final account with contractor.</li> <li>• Robust contract negotiations with contractor ongoing.</li> <li>• Assessment of asbestos reports and recharge</li> </ul>					

	<b>Risk Ref</b>	<b>Impact</b>	<b>Likelihood</b>	<b>Risk Owner</b>	<b>Risk Manager</b>
GREEN	13	Marginal	Very low	Aman Mehra	Victoria Brambini
<p><b>Risk Name:</b> Local Development Framework (LDF)</p> <p><b>Risk Description:</b> Implementation Delay</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Annual Monitoring report (2011) published on progress of LDF with housing trajectories and completions data</li> <li>• Ensuring alignment of LDF with Sustainable Community Strategy and other strategic documents (e.g. Local Transport Plan)</li> <li>• Member Champion for the project (LDF)</li> <li>• Officer and Members LDF Groups established to facilitate decision making</li> <li>• Planning Policy Manager in place</li> <li>• Realistic targets and milestones for LDF</li> <li>• Monitor changing national planning policy.</li> <li>• Manage overall programme slippage resulting from additional work (Article 4 Directions, Neighbourhood Plans, SPDs)</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Core strategy adopted July 2011 and Site Allocations key document consulted upon.</li> <li>• Implications of National Planning Policy Framework being considered</li> <li>• SPD for Wind Turbines developed and consultation underway</li> <li>• Additional Resourcing in place to progress extended workloads (NPs, CIL)</li> <li>•</li> </ul>					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	14	Critical	Low	Carol Chambers	Mark Naylor/Jill Haigh

**Risk Name:** Safeguarding

**Risk Description:** Failure to Safeguard (both Adults and Children).

**Risk Controls:**

- Processes and procedures in place to protect the most vulnerable
- Monthly financial monitoring by senior officers and update reports to Cabinet.
- Panel decision on placements rather than single officer
- Revised supervision process to ensure early information.

**Actions:**

- Register of associate staff established to develop sustainable staffing in social care
- Strict application of the panel process.

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
GREEN	15	Critical	Very Low	SMT	SMT

**Risk Name: Contracted services**

**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



	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
GREEN	16	Critical	Very Low	Aman Mehra	Victoria Brambini
<p><b>Risk Name:</b> Post 16 Capital Project</p> <p><b>Risk Description:</b> Failure to complete the development of the Barleythorpe site on time and within budget</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Dedicated Project Manager in place</li> <li>• Regular updates for Cabinet on Post 16 developments</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Continued monitoring of the capital development</li> </ul>					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	17	Critical	Significant	Aman Mehra/Carol Chambers	Victoria Brambini
<p><b>Risk Name:</b> Corporate Capital Strategy</p> <p><b>Risk Description:</b> Failure to deliver capital projects within time-limited availability of the funding.</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>•</li> <li>• Project Management and governance arrangements in place.</li> <li>• Capital Allocations Project Board (Education) established</li> <li>• Regular project board meetings taking place, involving school reps and officers/members.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• CIL Infrastructure Schedule detailing projects being drafted.</li> <li>• Prioritisation process for projects pursuant to corporate strategic aims and objectives being developed.</li> </ul>					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	18	Critical	High	Helen Briggs	Cottesmore WG
<p><b>Risk Name:</b> Cottesmore Base</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>• Cottesmore WG reactivated and relevant sub groups formed</li> <li>• Police and other partners engaged</li> <li>• Visit to Germany took place May 2012</li> <li>• Induction pack prepared</li> <li>• School admissions being progressed</li> <li>• Lobbying for funding with LGA, DfE and CLG</li> </ul>					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	19	Critical	High	Aman Mehra	Victoria Brambini
<p><b>Risk Name:</b> Significant Planning Applications</p> <p><b>Risk Description:</b></p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• ATLAS (Advisory Service for Large Applications, EMC PAS or specialist consultants) engaged to advise as appropriate</li> <li>• Appropriate legal and specialist planning/ s106 advice sought on individual applications</li> <li>• New SPG on s106 contributions introduced from June 2010</li> <li>• Senior officers and members to be clearly briefed on the implications of options.</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Cabinet and SMT to be advised of all new significant applications upon receipt and significant pre-app enquiries</li> <li>• Development management approach with Hawksmead application has been successful S106 now agreed</li> <li>• LDF Core Strategy approved and SPDs prepared to support policy framework.</li> </ul>					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	20	Critical	High	Helen Briggs	Helen Briggs
<p><b>Risk Name:</b> Political Leadership</p> <p><b>Risk Description:</b> Turbulence within the political leadership</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Succession planning</li> <li>• Member development</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Regular 121's with Leader to discuss risks and mitigation</li> </ul>					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	21	Critical	Low	Debbie Mogg/Carol Chambers	Andrea Grinney/????
<p><b>Risk Name:</b> Welfare Reform</p> <p><b>Risk Description:</b> Failure to be prepared for the welfare reform changes, including localisation of council tax support</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Joint project across the Leics and Rutland precepting area in respect of localisation of council tax support</li> <li>• Early discussions have taken place with Cabinet</li> <li>• Specific funding for implementation costs</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Continuous assessment of the impact on vulnerable people and the services they may require as a result of the changes</li> <li>• Continue to model the ongoing financial impact for the authority</li> </ul>					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	22	Critical	High	Helen Briggs	Victoria Brambini
<p><b>Risk Name:</b> Digital Rutland – risk of non delivery</p> <p><b>Risk Description:</b> Failure to deliver improved broadband with resultant impact on economy and service transformation</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Procurement of a strategic partner</li> <li>• BDUK funding in place</li> <li>• Alternative funding sources</li> <li>• State aid compliant process</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Council approval in place for award of contract subject to state aid</li> <li>• Implementation plan in place for delivery by end of 2013</li> </ul>					

	Risk Ref	Impact	Likelihood	Risk Owner	Risk Manager
AMBER	23	Critical	High	Helen Briggs	Victoria Brambini
<p><b>Risk Name:</b> Development of Ashwell prison site</p> <p><b>Risk Description:</b> To ensure that the future use of the site supports the Council’s growth strategy</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• On-going dialog with MoJ</li> <li>• Planning policy review and development options appraisal</li> <li>• Council briefed on progress</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Continue meetings with MoJ</li> <li>• Financial model for business park</li> <li>• Valuation and negotiations over acquisition</li> <li>• Market testing demand</li> </ul>					

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AMBER	24	Critical	High	Carol Chambers	Mark Naylor
<p><b>Risk Name:</b> Schools Funding reform for 2013/14</p> <p><b>Risk Description:</b> Inadequate funding for Rutland schools to meet the needs of Rutland children and young people, inability of the Council to meet its strategic objectives and inability of the DCS to meet statutory responsibilities.</p> <p><b>Risk Controls:</b></p> <ul style="list-style-type: none"> <li>• Schools Forum</li> <li>• Develop an agreed funding model with schools</li> </ul> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Response to national consultation</li> <li>• Collaborative work with other LAs, ADCS and other national bodies.</li> <li>• Project Group to develop funding models</li> <li>• Briefing with all schools</li> </ul>					