APPENDIX B – STRATEGIC RISK REGISTER

Key to symbols/terms used within the report

Risk Score:

Inherent Risk – the likelihood/impact of the risk without taking any controls and actions in place into consideration.
Residual Risk – the likelihood/impact of the risk taking the controls and actions RCC have put in place into consideration.

Actions:

All actions have a 3 letter code defined as follows:

[IMP] – An action that will improve the likelihood/impact of the risk once the action is completed.
[PRE] – A preventative action, which will not improve the risk but will prevent it from getting worse.

Risk ID: **3**	Risk Title: Failure to deliver key services should a significant business interruption occur	

Owner:
 	
Director – Places
 	
Inherent Score:
 	
16
 	
Residual Score:
 	
12 ←→
 	
Date Risk Added:
 	
September 2016
 	
Last Review Date:
 	
March 2022
	Actions
	
	• **[PRE] REVISED** – Implementation of Cyber Security Resilience Action Plan
	   o Added – March 2022
	   o Further to securing additional finding (see below), action plan to be implemented by December 2022. Interim updates to be given in next iteration of Risk Register.
	
	• **[IMP] NEW** – Testing of BCP
	   o Added – March 2022
	   o To be arranged with Resilience Partnership pre September 2022
		Controls
		
		• A Major Incident Plan has been prepared
		• Specific recovery plans are in place and have been updated
		• Business Continuity documents have been uploaded to a secure website (Resilience Direct)
		• Contract procedure rules include the requirement for managers to consider the impact of contractor failure and mitigate the risks appropriately
		• Business Continuity arrangements audited by Internal Audit and more recently by Resilience Partnership and new plan addresses key learnings
		• Preparations completed for dealing with concurrent events

PREVIOUS ACTIONS (REMOVED OR CLOSED)

CLOSED - BCP plans have been updated and signed off by Directors and SMT. There is a corporate plan and plans at each service level detailing with loss of suppliers, staff and IT.

Comments:

Now BCP plans are complete there is work to do to test the plans we have hence that new action is recorded. Supplier failure was an issue identified in Directorate registers. Supplier failure has been covered as part of BCP plans.

As reported in the Quarter 3 Finance report, the Council has applied for funding from DLUHC for Cyber resilience and been notified that it has been successful with an award of £150k. A cyber threat is now one of the biggest business continuity risks so

Risk ID: **3**	Risk Title: Failure to deliver key services should a significant business interruption occur
the Council structured its bid in a way that would allow it to invest and upgrade the Council's network infrastructure, back up arrangements and security systems towards best in class.	

Risk ID: **4**	Risk Title: Failure to Safeguard (Children) and a child is significantly abused, hurt, or dies.	
Owner: Director - People	Actions	Controls

Inherent Score: 20	• **[IMP]** Embed Signs of Safety model of practice through the delivery of 2 year implementation plan:
	   ○ Added Jan 21
	   ○ Due to be completed 2022
	   ○ UPDATE: All on track, May go live date
		• Processes and procedures in place to protect the most vulnerable
		• Ensuring we have sufficient competent, trained staff to safeguard children and there is no unallocated work
		• Clear practice standards in place so staff know what is expected of them and effective training to allow them to deliver high quality practice.
		• Children's services improvement plan in place and subject to monthly scrutiny by the Improvement Board.
		• High quality management oversight of all Children's Social Care practice.
		• Comprehensive Performance Management and Quality Assurance framework in place.

Residual Score: 12 ←→		
Date Risk Added: September 2016		
Last Review Date: March 2022		

PREVIOUS ACTIONS (REMOVED OR CLOSED)

CLOSED - Complete permanent recruitment to all key management and social work roles

Comments: The OFSTED inspection in March 2020 graded Rutland County Council Children's Services as 'Requires Improvement to be Good'. An improvement plan has been in place since then, strengthened by improved governance arrangements.

In January Ofsted undertook a focused visit to review children's services. In a formal letter detailing the inspectors' findings, Ofsted confirmed that Rutland County Council is maintaining a clear focus on protecting children and improving the quality of social work practice in the county. Inspectors also noted that senior leaders within Rutland's Children's Services know their

Risk ID: **4**	Risk Title: Failure to Safeguard (Children) and a child is significantly abused, hurt, or dies.
services well and have succeeded in improving care for children and young people despite the challenges of the COVID-19 pandemic.	

Risk ID: **5**	Risk Title: Failure to Safeguard (Adults) and an adult is significantly abused, badly hurt or dies.	

Owner:
Director - People
 	
Inherent Score:
15
 	
Residual Score:
9 ▲
 	
Date Risk Added:
September 2016
 	
Last Review Date:
March 2022
	Actions
	
	• **[PRE] NEW** Preparing for Care Quality Commission Inspection of Local Authority Social Care. Completion of Self-Assessment tool when available.
	    o Added: 21 March 2022
	    o Target date: 31 March 2022
	
	• **[PRE] NEW** Implement changes to Liberty Protection Safeguards (issued in March) for implementation in 2023 (April or October)
	    o Added: 21 March 2022
	    o Target date: End September 2022
	
	• **[PRE] NEW** Refresh LLR Safeguarding Adults Board Business Plan
	    o Added: 21 March 2022
	    o Target date: End April
		Controls
		
		• Processes and procedures in place to protect the most vulnerable.
		• Scrutiny and overview from the Safeguarding Boards.
		• Monthly performance and financial monitoring by senior offices and updates to Cabinet.
		• High quality, timely information contained within case files.
		• Clear practice standards in place so staff know what is expected of them.
		• Management oversight recorded on file alongside regular supervision.
		• Effective training of staff.
		• Comprehensive Performance Management and Quality Assurance framework in place.
		• Annual audits now in place on an ongoing basis to ensure quality and effectiveness of service is maintained.
		• Workforce changes to provide a complex lives worker, across teams, providing further resilience and professionalism to safeguarding
		• Extra social worker added to P&S to support increased safeguarding referrals/duty work, on a fixed one-year contract

PREVIOUS ACTIONS (REMOVED OR CLOSED) None		

Risk ID: **5**	Risk Title: Failure to Safeguard (Adults) and an adult is significantly abused, badly hurt or dies.

Comments: *The Care Act 2014 (Section 42) requires that each local authority must make enquiries, or cause others to do so, if it believes an adult is experiencing, or is at risk of, abuse or neglect. An enquiry should establish whether any action needs to be taken to prevent or stop abuse or neglect and if so, by whom.

There will be Care Quality Commission (CQC) oversight of Local Authorities' commissioning of adult social care, which will be introduced through the Health and Care Bill. We are expecting this to apply from 1 April 2023.

The Liberty Protection Safeguards will provide protection for people aged 16 and above who are or who need to be deprived of their liberty in order to enable their care or treatment and lack the mental capacity to consent to their arrangements. The Liberty Protection Safeguards were introduced in the Mental Capacity (Amendment) Act 2019 and will replace the Deprivation of Liberty Safeguards (DoLS) system.

Risk ID: **76**	Risk Title: Failure to address increasing SEND costs and provide an inclusive learning offer	
Owner: Director - People Inherent Score: 15 Residual Score: 12 ←→ Date Risk Added: October 2019 Last Review Date: March 2022	Actions • **[IMP]** Continue to embed primary inclusion partnership and develop secondary school model of inclusion partnership ○ Added Jan 21 ○ Due for completion June 2022 ○ Report to Cabinet in July on extension of inclusion partnership provision • **[IMP]** Address emerging secondary special provision needs ○ Added June 2021 ○ Due for completion September 2022 ○ UPDATE: Project started and feasibility study has been completed. Service model being implemented.	Controls • SEND recovery plan in place and actioned. • Monitoring by officers – regular scrutiny of performance data, finance and outcomes. • SEND Programme Board scrutinises progress of SEND recovery plan. • Continue to expand our In-County special education options (UCC provision is now open) for children with SEND so more children are educated closer to home. • Support and enable our Early Years Settings to meet the needs of all children and families so all Rutland families have access to early education which meets identified needs.

PREVIOUS ACTIONS (REMOVED OR CLOSED)

None

Comments: The increased demand and rising costs for supporting children with SEND is a national issue and the Department for Education is completing a review into current arrangements and funding streams. We have seen outcomes from meetings had between other LA's and DfE and the areas targeted for improvement are already central to our plan. We are refreshing our own Recovery Plan and will be reporting shortly.   We have not received any feedback on process but are interested in what can be achieved without extra funding. Without policy changes nationally, the SEND recovery plan in Rutland is unlikely to fully address the current and long term budget pressures.   This will be discussed at the SEND Schools Summit in November.

Risk ID: **76**	Risk Title: Failure to address increasing SEND costs and provide an inclusive learning offer
The Council is joining the Delivering Better Value in SEND programme. The programme provides dedicated support and funding to help a further local authorities with substantial, but less severe, deficit issues to reform their high needs systems; we fit this profile. The programme will see the Department provide project management and change management capacity, alongside SEND financial and practice advisers, to support Rutland in engaging with its key stakeholders and conduct a comprehensive diagnostic process to identify the underlying cost drivers of our high needs system and potential reforms to manage/mitigate these cost drivers more effectively. We will be working with the programme to develop our own action plan.	

Risk ID: **7**	Risk Title: Failure to put in place plans to support growth with appropriate infrastructure	

Owner:
 	
Director - Places
 	
Inherent Score:
 	
12
 	
Residual Score:
 	
8 ←→
 	
Date Risk Added:
 	
November 2016
 	
Last Review Date:
 	
March 2022
	Actions
	
	• **[IMP]** New IDP to be developed alongside new Local Plan
	    o Added October 2021
	    o Due for completion December 2024
	    o UPDATE – working group is overseeing all Local Plan work
	
	• **[IMP]** Governance framework for CIL spending to be developed.
	    o Added June 21
	    o Due for completion December 2021
	    o UPDATE – Refreshed anticipated CIL trajectory and draft governance framework reviewed by Scrutiny
	
	• **[IMP]** Infrastructure priorities to be agreed for spending
	    o Added October 2021
	    o Due for completion March 2022
	    o Revised – March 2023 – intention is to go create a 10 year capital plan which goes beyond infrastructure for development purposes but also whatever else Members may want to achieve. A process for this needs to be developed and additional resource may be needed.
		Controls
		
		• Existing plan in place – Infrastructure Delivery Plan
		• Infrastructure requirements identified linked to CIL.
		• Key infrastructure requirements are monitored on a regular basis e.g. School Places.
		• Specific projects in place to meet specific need including;
		    o Digital Rutland – Broadband.
		    o OEP – Employment/business growth.
		    o Schools – expansion of Catmose planned
		• Balances of s106 and CIL being held until used
		• Infrastructure funding statement published annually in December

PREVIOUS ACTIONS (REMOVED OR CLOSED)

CLOSED – Previous IDP actions closed following Council decision not to proceed with Local Plan

Comments: Council, through Director of People, is in discussion with Health (Rutland Hub project) to assess future health needs. Health holding monthly Rutland strategic growth meeting specifically to identify health requirements for the future. Discussions ongoing with Melton in respect of bid for Levelling Up Fund.

Risk ID: **78**	Risk Title: Failure to achieve expectations of customers across key service areas.	

Owner:
 	
SMT
 	
Inherent Score:
 	
6
 	
Residual Score:
 	
4 ⟷
 	
Date Risk Added:
 	
October 2019
 	
Last Review Date:
 	
April 2022
	Actions
	
	• **[IMP]** Customer Services strategy to be refreshed as part of Corporate Plan work (including review of current arrangements)
	   ○ Added October 2021
	   ○ Due for completion March 2022
	   ○ IN PROGRESS – new arrangement in place following re-opening of Customer Services following lifting of restrictions. Further actions to be driven by Corporate Plan.
		Controls
		
		• Customer KPIs in place across key service areas.
		• External feedback in areas like Better Care Fund/Social Care.
		• Customer Service Standards in place.
		• Complaints, compliments and comments recorded and analysed.
		• Access to Council services available through various channels.
		• Website team in place.
		• NEW: MyAccount is now launched

PREVIOUS ACTIONS (REMOVED OR CLOSED)

CLOSED - Monthly Performance reporting on CST, Fix My Street and MyAccount to be designed. Various reports are available that show performance against requests. A new basket of Customer Service KPIs to be included in Corporate Plan performance report.

Comments: New arrangements for CST were implemented in February. The vast majority of Customers are contacting us via email, telephone or MyAccount/FMS. The use of MyAccount continues to be well received with over 3,500 registered users.

Risk ID: **77**	Risk Title: Changes to LLR Health system may reduce our ability to shape services to meet needs	

Owner:
 	
Director - People
 	
Inherent Score:
 	
8
 	
Residual Score:
 	
6 ←→
 	
Date Risk Added:
 	
October 2019
 	
Last Review Date:
 	
March 2022
	Actions
	
	• **[IMP]** Develop a Rutland Health Plan in partnership with CCG, PCN and other Stakeholders
	    o Added January 21
	    o Due for completion: End June 2021
	    o Revised date: March 2022
	    o This is now in draft and has gone to both Scrutiny and Health and Wellbeing Board. To be finalised in January 2022.
	    o Update: This will be signed off at Health and WellBeing Board in April
		Controls
		
		• Excellent relations with CCG/Community Health and GP's.
		• Delivering strong integrated health and social care offers with partners via BCF.
		• Significant integration already achieved proven by data.
		• Rutland integrated service is a nationally recognised success.
		• Services continue to develop such as with the Primary Care Network consolidating the Rutland approach.

PREVIOUS ACTIONS (REMOVED OR CLOSED) None		
Comments: None		

Risk ID: **10**	Risk Title: Failure to protect the health and safety of employees and members of the public	

Owner:
 	
Director - Places
 	
Inherent Score:
 	
20
 	
Residual Score:
 	
6 ←→
 	
Date Risk Added:
 	
September 2016
 	
Last Review Date:
 	
March 2022
	Actions
	
	• **[IMP]** H&S Corporate framework to be implemented
	    o Added November 2020
	    o Due for completion 31st March 2022
	    o Update: Corporate H&S Group to assess implementation status
		Controls
		
		• Joint safety committee in place that reviews internal risk reports such as RIDDOR.
		• Contract procedure rules require contract managers to take due regard of health and safety when procuring contracts.
		• Managers complete risk assessments for service activities and review annually.
		• Mandatory health and safety training for all staff
		• Rolling programme of audits ongoing.
		• Internal H&S group set up and working
		• Annual report to Council on Health and Safety

PREVIOUS ACTIONS (REMOVED OR CLOSED) None		
Comments: H&S framework includes various aspects such as training, performance reporting, risk assessments, display screen equipment (DSE) assessments. Various elements have been completed such as DSE assessments, reporting to Joint Safety Committee. Internal Audit undertook a review of H&S framework (Satisfactory opinion).		

Risk ID: **73**	Risk Title: **[REVISED]** There is a risk we cannot deliver key/new priorities due to a lack of resources caused by retention/recruitment issues, budget or too big a corporate workload (including additional requirements from Government).	

Owner:
 	
SMT
 	
Inherent Score:
 	
18 ▲
 	
Residual Score:
 	
15 ▲
 	
Date Risk Added:
 	
September 2019
 	
Last Review Date:
 	
March 2022
	Actions
	
	- **[PRE] NEW** Project teams to consider Resource needs for upcoming projects and pressures (NB: new burdens funding could be received) for financial outturn
	  - Added March 2022
	  - Target: for Outturn
	
	- **[PRE] NEW** Corporate plan and service commitments to be tested for deliverability and workload issues
	  - Added March 2022
	  - Dates linked to Corporate Plan approval process
	
	- **[IMP] NEW** Consideration to be given for Corporate mechanism/dashboard for understanding capacity.
	  - Added March 2022
		Controls
		
		- Specific recruitment plans in place.
		- Provision for supplements in place.
		- Use of external agencies as approved by SMT
		- Applicant Tracking System in use, allowing Human Resources to manage the recruitment process better.
		- Awareness of where there are issues
		- Review of Retention and Recruitment completed by HR
		- Business Continuity arrangements
		- NEW Request for Resources from Cabinet/Council

PREVIOUS ACTIONS (CLOSED OR REMOVED) **CLOSED** - Line by Line budget reviews is exploring opportunities for alternative service delivery models. Steer on service areas will inform future delivery and this issue will be a driver for Transformation.		

CLOSED - Status of staffing issues is being highlighted via Finance report and Director briefings (and necessary action e.g. prioritisation if required)

Comments:

The original recommendation focused on recruitment and resilience. Following Zurich Municipal workshops with Directorates the risk has been extended beyond that for two reasons: 1) recruitment remains challenging and bringing in additional support for short term projects is also very difficult. 2) Additional workload arising from Government agenda (£150 energy) rebate, social care charging reform, Liberty Protection Safeguards, SEND Delivering Better Value programmes, Schools Reforms etc) coupled with local projects (Local Plan, Leisure, Waste Management) will put too much pressure on existing resources.

NB: During the pandemic, the Council has tried to absorb additional work but this is becoming increasingly difficulty.

Introduction of CQC of local authority social care, charging reforms and liberty protection safeguards will require social workers at a time when there is a national shortage.

Risk ID: **74**	Risk Title: There is a risk that the Council is not financially stable in the medium term (as evidenced by the gap in MTFP)	
Owner: Director - Resources Inherent Score: 24 Residual Score: 20 ▲ Date Risk Added: September 2019 Last Review Date: April 2022	Actions **[IMP]** Agree financial objectives and priorities and implications as part of budget setting. - Added October 2021 - Due for completion – February 2022 - UPDATE - financial objectives re dates for reducing deficits to be assessed once further savings discussions held in April (and corporate workload) **[PRE] NEW** Agree plan for Budget Savings (including a decision to proceed re Transformation) including how it can be resourced. - Added March 2022 - Due for completion – End June 2022	Controls - Medium Term Financial Plan (MTFP) in place - Members adhering to minimum General Fund balances in budget setting - Members understand the need to raise Council Tax - All increases in budget scrutinised to ensure they are legitimate. - Lobbying for additional funding ongoing including meeting with Minister and MP - Various controls strengthened in light of action opposite (e.g. review of recruitment, agency staff etc) - Strong management of the ongoing Revenue budget **NEW** Ongoing project work to assess financial impact of reforms

PREVIOUS ACTIONS (CLOSED OR REMOVED)

CLOSED – Budget deficit for 22/23 was well below £1m target with new savings of over £800k delivered as part of 22/23 budget.
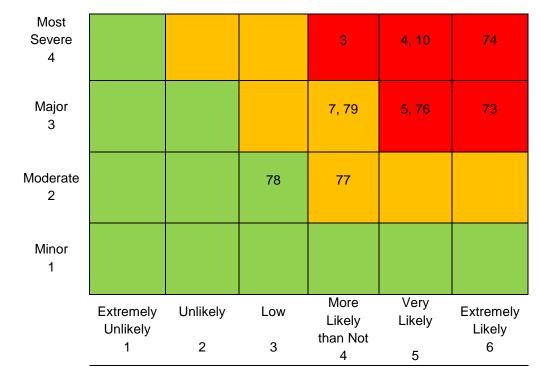
Comments:

There are still some project areas previously identified that have not progressed primarily due to capacity. Work to be undertaken with Members will allow further ideas to be added to the list.

Risk ID: **74**	Risk Title: There is a risk that the Council is not financially stable in the medium term (as evidenced by the gap in MTFP)

A delivery plan will then be identified taking into account workload commitments as capacity is a big corporate risk. Ideally, all resources would be focused on budget savings but this is not possible given business as usual, local projects and workload from Government policy. We cannot expect to deliver a big savings project with the existing resources we have, hence the need to consider carefully resources rather than just assume we can deliver whatever is agreed.

There are also concerns about whether delivering a series of long term projects will realistically deliver the type of transformational change programme that the Council needs and whether the Council has capacity to do this. The Council has given authority for a Transformation project to be commissioned and a decision will be made in April.

Inflation impact issues to be considered in financial outturn report. Work ongoing with social care providers driven by energy cost crisis.
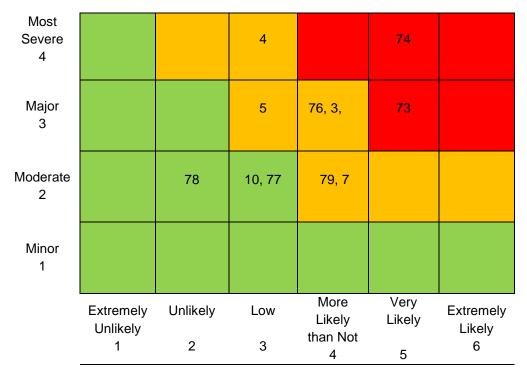
Risk ID: **79**	Risk Title: Risk that the Council does not have procurement and commissioning capacity and capability to secure the best possible financial and other outcomes	

Owner: Director - People
 	
Inherent Score:
 	
12
 	
Residual Score:
 	
8 ←→
 	
Date Risk Added:
 	
January 2021
 	
Last Review Date:
 	
April 2022
	Actions
	
	- **[IMP] NEW:** Review of internal arrangements in medium term
	  - Added: January 2021
	  - Completion date: No date set (focus for now on individual procurement exercises)
	  - Update: This is now linked to the Social Care end to end reviews so expecting some options for end of March.
	  - UPDATE – On Hold linked to Transformation and Adult Social Care charging reforms (see update below)
		Controls
		
		- Council has access and support from Welland Procurement
		- Commissioning team in place covering Peoples
		- Other external support is being brought in to supplement in house resource on key procurements e.g. waste management
		- External reviews of commissioning have indicated the Council does obtain good results e.g. adult placements
		- Project Teams are in place with all key procurement activity e.g. Leisure, Waste Management, Highways
		- Lessons learnt include investing in understanding needs and therefore commissioning intentions rather than the process of contracting/procurement

PREVIOUS ACTIONS (CLOSED OR REMOVED)

None

Comments:

The implementation of new Adult Social Care charging reforms will have a significant impact on the work of the Commissioning Team. The specialist resourcing of individual projects has also brought into question what the Council may need from a future team and there may be opportunities to work differently which will be picked up in Transformation work.

Inherent Risk plotted on Risk Matrix

IMPACT	Extremely Unlikely 1	Unlikely 2	Low 3	More Likely than Not 4	Very Likely 5	Extremely Likely 6
Most Severe 4				3	4, 10	74
Major 3				7, 79	5, 76	73
Moderate 2			78	77		
Minor 1						

Residual Risk plotted on Risk Matrix

IMPACT	Extremely Unlikely 1	Unlikely 2	Low 3	More Likely than Not 4	Very Likely 5	Extremely Likely 6
Most Severe 4			4		74	
Major 3			5	76, 3,	73	
Moderate 2		78	10, 77	79, 7		
Minor 1						