

## AUDIT AND RISK COMMITTEE

5 December 2023

### STRATEGIC RISK REGISTER

#### Report of the Strategic Director for Resources

Strategic Aim:	All	
Exempt Information	No	
Cabinet Member(s) Responsible:	Cllr A Johnson, Deputy Leader and Portfolio Holder for Resources	
Contact Officer(s):	Kirsty Nutton, Strategic Director for Resources (s.151 Officer)	01572 758159 KNutton@rutland.gov.uk
Ward Councillors	N/A	

#### DECISION RECOMMENDATIONS

That the Committee:

- 1) Considers the content of the updated Strategic Risk Register (Appendix A) and the actions underway to address the risks.

## 1 PURPOSE OF THE REPORT

- 1.1 To present the Strategic Risk Register to the Committee and provide assurance that strategic risks are being adequately managed.

## 2 CONTEXT

- 2.1 Risk is unavoidable, and it forms an important part of life that allows us all to move forward and develop. As an organisation it can impact in many ways, whether financially, politically, on our reputation, environmentally or to our service delivery. Effective risk management optimises the balance between risk and control, providing sufficient protection from harm, without stifling the Council's development.
- 2.2 The Council's overriding attitude to risk is to operate in a culture of creativity and innovation, in which risks are identified in all areas of the business, are understood and proactively managed, rather than avoided. Risk management therefore needs to be at the core of the Council and our key partners. As such

the Council needs to have the structures and processes in place to ensure the risks and opportunities of daily Council activities are identified, assessed and addressed in a standard way. This will enable the Council to not only to meet the needs of the community today, but also be prepared to meet future challenges.

- 2.3 The Council's main aims in relation to risk management are to:
- i. Ensure that appropriate systems are in place to help identify, evaluate and make a conscious choice about how to deal with the risks that it faces
  - ii. Ensure that mechanisms exist to track and report business risks on an ongoing basis
  - iii. Embed risk management into the culture of the organisation in terms of how it operates and makes decisions
  - iv. Adopt a systematic approach to risk management as an integral element of business planning and performance management
  - v. Raise awareness of the need for risk management by all those connected with delivery of the Council's services (including partners and contractors)

### **3 STRATEGIC RISK REGISTER**

3.1 The Risk Register has been reviewed and updated as at November 2023. The dashboard at Appendix A summarises the key movements since it was last presented at Audit and Risk in June 2023. The full register is included in Appendix B.

3.2 Directorate Risk Registers are in place and the Internal Audit work plan for the year includes completing assurance reviews for this area, as approved by this Committee 21 March 2023:

*Corporate governance and counter fraud*

*Risk management: To provide support on maintenance of the Council's risk registers and quarterly testing on a sample of controls within the registers to inform real time assurances to the committee on the assumptions underpinning the risk scoring.*

3.3 In September 2023 the Audit and Risk Committee considered the governance arrangements put in place for the management of the Rutland Melton Levelling Up Fund administration and delivery of the programme to gain assurances of the governance processes and risk management from this project.

3.4 The Audit and Risk Committee undertook further training in September 2023 through attendance at a training session run by Zurich Resilience Solutions. Members were briefed on the management of risk in Council activities and considered what information is required to evaluate and ensure effective risk management is adopted.

### **4 CONSULTATION**

4.1 None required.

## **5 ALTERNATIVE OPTIONS**

- 5.1 This report provides an opportunity for the Audit and Risk Committee to review the Register therefore there are no alternative options for this recommendation.

## **6 FINANCIAL IMPLICATIONS**

- 6.1 There are no direct financial implications arising from this report, but the Committee should note that the failure to manage risks effectively could have a financial impact on the Council.

- 6.2 Financial risks are reported to Cabinet, and considered by Scrutiny as part of the regular reporting of financial performance.

- 6.3 In September 2023 the Council approve a new Reserves Strategy and Policy. As part of this Strategy an assessment was undertaken as to the possible risk exposure for the Council alongside the likelihood of occurrence. The assessment by the S151 has enabled the Council to identify balances to mitigate risk and provide investment opportunities for future savings proposals and / or enhanced service. This assessment will be reviewed as part of the budget setting process and will form part of the S151 / Chief Finance Officers 'Section 25 Robustness of Estimates' assessment on the adequacy of reserves as part of the Medium-Term Financial Strategy.

- 6.4 In November 2023 Cabinet considered and approved the approach to use the forecast underspend with 50% to be used to mitigate in year risk pressures and for the remainder to be used to fund activity which supports financial sustainability. This approach supports the strategic risk management identified in this report given the three themes of investment activity to be based on:

- Investment to aid the recruitment and retention of staff to reduce vacancy rates
- Investment in IT and digital platforms to deliver the modern Council vision and create efficiencies in the way work is undertaken across the business, improve customer service interactions, which in turn will support staff wellbeing initiatives
- Investment in specific support for service delivery, whereby in year investment can be used to implement transformational change in service delivery methods e.g. social care prevention including CQC readiness and stabilisation plans for services where vacancy rates are particularly high and impacting on service delivery

## **7 LEGAL AND GOVERNANCE CONSIDERATIONS**

- 7.1 As set out in the terms of reference within the constitution, this Committee has responsibility to provide assurance of the adequacy of the Risk Management framework and control environment.

- 7.2 There are no legal implications arising from this report.

## **8 DATA PROTECTION IMPLICATIONS**

- 8.1 A Data Protection Impact Assessments (DPIA) has not been completed because there are no service, policy or organisational changes being proposed.

## **9 EQUALITY IMPACT ASSESSMENT**

- 9.1 An Equality Impact Assessment (EqIA) has not been completed because there are no service, policy or organisational changes being proposed.

## **10 COMMUNITY SAFETY IMPLICATIONS**

- 10.1 There are no community safety implications.

## **11 HEALTH AND WELLBEING IMPLICATIONS**

- 11.1 There are no health and wellbeing implications.

## **12 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS**

- 12.1 The Committee's role is to monitor the effective development and operation of risk management and corporate governance. The Risk Register sets out the strategic risks facing the Council and demonstrates how they are being managed.
- 12.2 The Internal Audit plan includes an allocation of time throughout the year to review the controls and actions outlined in this report as part of mitigating the risks.

## **13 BACKGROUND PAPERS**

- 13.1 The following are links to the relevant Risk Management papers:

- [Risk Management Policy, as agreed at Audit & Risk Committee, 5 April 2022, Item 9.](#)
- [Strategic Risk Register report, as considered at Audit & Risk Committee, 27 June 2023, Item 12.](#)
- [Internal Audit work plan, as agreed at Audit & Risk Committee, 21 March 2023, Item 9.](#)
- [Levelling Up Fund Governance Arrangements, as considered at 26 September 2023, Item 8.](#)
- [Reserves Strategy & Policy, as approved at Council 4 September 2023, Item 10.](#)
- [2023/24 Quarter 2 - Revenue And Capital Forecast Report , as considered and approved at Cabinet 14 November 2023, Item 6](#)

- [Performance Report 2023/24, as considered and approved at Cabinet 14 November 2023, Item 7](#)

## **14 APPENDICES**

### 14.1 Appendix A: Strategic Risk Register

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577

## Appendix A. 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.

**Summary of risks** – (for risk matrices see final page of this report)

Risk ID:	Risk Title:		Corporate Strategy Priority	Inherent Risk Cat.	Residual Risk Cat.	Movement since last review
3	Failure to deliver key services should a significant business interruption occur		A modern & effective Council	High	Medium	No change
4	Failure to Safeguard (Children) and a child is significantly abused, hurt, or dies.		A county for everyone	High	Medium	No change
5	Failure to Safeguard (Adults) and an adult is significantly abused, badly hurt or dies.		Healthy & well	High	Medium	No change
76	Failure to address increasing SEND costs and provide an inclusive learning offer		A county for everyone	High	Medium	Increase
7	Failure to put in place plans to support growth with appropriate infrastructure		A special place	Medium	Low	No change
78	Failure to achieve expectations of customers across key service areas.		A modern & effective Council	Low	Low	No change
10	Failure to protect the health and safety of employees and members of the public		A modern & effective Council	High	Low	No change
73	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).		A modern & effective Council	High	High	No change
74	There is a risk that the Council is not financially stable in the medium term (as evidenced by the gap in MTFP)		A modern & effective Council	High	Medium	Reduction
79	Risk that the Council does not have procurement and commissioning capacity and capability to secure the best possible financial and other outcomes		A modern & effective Council	Medium	Low	Reduction

Risk ID: <b>3</b>	<b>Risk Title: Failure to deliver key services should a significant business interruption occur</b>	
 A modern & effective Council	<b>Actions (on-going to support mitigation of risk)</b> <ul style="list-style-type: none"> <li>Regular testing of Business Continuity Plans (BCPs) to continue (every 6 months).</li> <li>Embed Business Continuity Officer into RCC services.</li> <li>Continue engagement in LRF management boards to support best practice and learning.</li> <li>Regular engagement in appropriate emergency planning exercises to support strategic and tactical responses in the event of an emergency that would impact on business delivery and the wider community.</li> <li>Delivery of local emergency centre training and preparation – scheduled for early 2024.</li> </ul>	<b>Controls</b> <ul style="list-style-type: none"> <li>A Major Incident Plan is in place</li> <li>A local emergency plan has been developed.</li> <li>Business Continuity and recovery plans in place - documents have been uploaded to a secure website (Resilience Direct)</li> <li>Contract procedure rules include the requirement for managers to consider the impact of contractor failure and mitigate the risks appropriately.</li> <li>Periodically test the Plan through LRF based exercise</li> </ul>
Owner: Strategic Director for Law and Governance		
Inherent Score: <b>16</b>		
Residual Score: <b>12</b> ↔		
Date Risk Added: September 2016		
Last Review Date: November 2023		
<b>PREVIOUS ACTIONS (REMOVED OR CLOSED)</b>		
<b>Comments:</b> <p>Business continuity plans are in place for all critical services within the Council and we have begun a regular programme of testing with the first testing session in September at CLT. This resulted in amendments to plan structure with the next test scheduled in 3 months. We have made a commitment to a new business continuity officer who will be employed by the Resilience Partnership however this is delayed due to contractual discussions with other Councils – it is expected to go ahead this financial year. This new officer will be responsible for overseeing the Councils BCPs and monitoring updates, leading on the testing with services to make BCP business as usual.</p> <p>Our emergency planning preparation has continued - this year RCC has taken part in 2 exercises – Operation Mighty Oak and Operation Voltornus – both designed to support strategic and tactical responses to emergencies. Working closely with the resilience officer we are identifying the right training for the Council to manage emergency response in doing so we have developed a local emergency plan to support rapid response with training scheduled in January. Further training for emergency centre managers and staff is now also in train and likely delivered early 2024.</p>		

**[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: 4	<b>Risk Title: Failure to Safeguard (Children) and a child is significantly abused, hurt, or dies.</b>	
A county for everyone	<b>Actions</b> <ul style="list-style-type: none"> <li>• <b>[IMP]</b> Implement the Independent Review of Social Care recommendations following Government response and Pathfinder initiatives. <ul style="list-style-type: none"> <li>○ Added September 2022</li> <li>○ Pathfinders have begun in October 2023</li> </ul> </li> </ul>	<b>Controls</b> <ul style="list-style-type: none"> <li>• Processes and procedures in place to protect the most vulnerable</li> <li>• Ensuring we have sufficient competent, trained staff to safeguard children and there is no unallocated work</li> <li>• Clear practice standards in place so staff know what is expected of them and effective training to allow them to deliver high quality practice.</li> <li>• Children's services improvement plan in place and subject to scrutiny by the Improvement Board.</li> <li>• High quality management oversight of all Children's Social Care practice.</li> <li>• Comprehensive Performance Management and Quality Assurance framework in place.</li> <li>• Sign of Safety model in place</li> </ul>
Owner: Strategic Director for Children & Families		
Inherent Score: <b>20</b>		
Residual Score: <b>12</b> ↔		
Date Risk Added: September 2016		
Last Review Date: November 2023		
<b>PREVIOUS ACTIONS (REMOVED OR CLOSED)</b>		
<b>Comments:</b> The results of the consultation and the Government's response was published in September 2023 the response is on the link below: <a href="https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1185931/Children_s_Social_Care_Stable_Homes_Built_on_Love_consultation_response.pdf">https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1185931/Children_s_Social_Care_Stable_Homes_Built_on_Love_consultation_response.pdf</a> <ul style="list-style-type: none"> <li>• As a result of this we are currently in a period of testing on the part of Pathfinder Local Authorities to test the changes that the government wants to implement nationally- we are waiting for results and findings from these Local Authorities to further shape the direction of the changes we are implementing within children's services.</li> <li>• Within Rutland we are undertaking a period of restructure in children's services in preparation for the changes that will become national requirements following the Pathfinder programmes.</li> </ul>		

**[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: 4	<b>Risk Title: Failure to Safeguard (Children) and a child is significantly abused, hurt, or dies.</b>
<p>Our full ILACS inspection will take place in 2024- this is an opportunity to display the progress we have made since our 2020 inspection. The areas of social work practice to improve are:</p> <ul style="list-style-type: none"><li>• The robustness of management oversight so that shortfalls in visits to children and social work supervision are prevented.</li><li>• The effectiveness of the quality assurance measures in informing improvements.</li><li>• The quality of assessments. In response we have updated our development plan for children’s services with a particular focus on achieving consistent good quality practice in assessments and planning and strengthened our frontline management and supervision of child in need and child protection work</li></ul>	

**[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: 5	<b>Risk Title: Failure to Safeguard (Adults) and an adult is significantly abused, badly hurt or dies.</b>		
 Healthy & well	<p><b>Actions</b></p> <ul style="list-style-type: none"> <li>• <b>[PRE]</b> Preparing for Care Quality Commission assessment of Local Authority Social Care. Completion of Self-Assessment tool when available. <ul style="list-style-type: none"> <li>○ Preparation is ongoing and from October 2022 a CQC readiness team will oversee action.</li> <li>○ Ongoing work as of November 23 to look at safeguard alerts, demand management.</li> </ul> </li> </ul> <p><b>Deprivation of Liberty Safeguards</b></p> <ul style="list-style-type: none"> <li>○ Currently in place whilst the Liberty Protection Safeguards are postponed (date unknown for change in law at this time)</li> <li>○ Stable contract in place for LCC to undertake the DoLS work.</li> </ul>	<p><b>Controls</b></p> <ul style="list-style-type: none"> <li>• Processes and procedures in place to protect the most vulnerable.</li> <li>• Scrutiny and overview from the Safeguarding Boards and Internal Boards such as CQC Regulation Board</li> <li>• Monthly performance and financial monitoring by senior offices and updates to Cabinet.</li> <li>• High quality, timely information contained within case files.</li> <li>• Clear practice standards in place so staff know what is expected of them.</li> <li>• Management oversight recorded on file alongside regular supervision.</li> <li>• Effective training of staff.</li> <li>• Comprehensive Performance Management and Quality Assurance framework in place.</li> <li>• Annual audits now in place on an ongoing basis to ensure quality and effectiveness of service is maintained.</li> <li>• Workforce and workflow changes/redesign providing further resilience and professionalism to safeguarding and manage demand</li> <li>• Extra social worker added to P&amp;S to support increased safeguarding referrals/duty work, on a fixed one-year contract</li> </ul>	
Owner: Strategic Director for Adult Services & Health		Inherent Score: <b>15</b>	Residual Score: <b>9</b> ↔
Date Risk Added: September 2016		Last Review Date: November 2023	
<p><b>PREVIOUS ACTIONS (REMOVED OR CLOSED)</b></p> <ul style="list-style-type: none"> <li>○ <b>CLOSED - [PRE]</b> Implement changes to Liberty Protection Safeguards (issued in March) for implementation in 2023 - awaiting confirmation of a revised implementation date unlikely to happen within this current Government</li> </ul>			

**[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: 5	<b>Risk Title: Failure to Safeguard (Adults) and an adult is significantly abused, badly hurt or dies.</b>
<p><b>Comments:</b> *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.</p> <p>There will be Care Quality Commission (CQC) oversight of Local Authorities' delivery of its Care Act duties across adult social care, which will be introduced through the Health and Care Bill.</p> <p>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.</p>	

**[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: 76	<b>Risk Title: Failure to address increasing SEND costs and provide an inclusive learning offer</b>	
A county for everyone	<p><b>Actions</b></p> <ul style="list-style-type: none"> <li>• <b>[IMP]</b> Delivering Better Value programme grant application and high-level implementation plan is completed <ul style="list-style-type: none"> <li>○ Funding agreed in principle and due to be received to support implementation plan – November 2023</li> <li>○ Programme capacity in place and local Area Strategic Governance arrangements in place</li> </ul> </li> <li>• <b>[IMP]</b> Development of new early years pathway for those with additional needs <ul style="list-style-type: none"> <li>○ Collaboration and input via the EY inclusion offer and SSP in place for EY providers and settings with positive outcomes</li> <li>○ Consultation on the future of the Parks Special Nursery School is live and due for completion December 2023, decision January 2024.</li> </ul> </li> <li>• <b>[IMP]</b> Strengthen strategic partnership governance of SEND system in Rutland. <ul style="list-style-type: none"> <li>○ In place October 2023.</li> </ul> </li> <li>• <b>[IMP]</b> Rutland Lead partner in SEND and AP Change programme <ul style="list-style-type: none"> <li>○ Programme capacity in place</li> <li>○ Grant in place</li> <li>○ Key priority testing areas determined</li> </ul> </li> </ul>	<p><b>Controls</b></p> <ul style="list-style-type: none"> <li>• SEND recovery plan in place and actioned.</li> <li>• Monitoring by officers – regular scrutiny of performance data, finance and outcomes.</li> <li>• SEND area Strategic Board scrutinises progress of Delivering Better Value (DBV) Implementation plan.</li> <li>• Continue to expand our In-County special education provision for children with SEND so more children are educated in mainstream settings closer to home.</li> <li>• Increased capacity in the UCC mainstream plus facility, and 4 places in the primary DSP</li> <li>• 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.</li> <li>• Inclusion partnerships across Early years, primary and secondary phases</li> <li>• External scrutiny through the CQC and Ofsted area SEND inspection process</li> </ul>
Owner: Strategic Director for Children & Families		
Inherent Score: <b>15</b>		
Residual Score: <b>12 ▲</b>		
Date Risk Added: November 2023		
Last Review Date: November 2023		
<p><b>PREVIOUS ACTIONS (REMOVED OR CLOSED)</b>  <b>CLOSED:</b> New secondary mainstream plus provision now in place (10, plus 10 places targeted at children with additional needs) from September 2022.  <b>CLOSED:</b> Preparation for Delivering Better Value Programme and Phase 1 completed</p>		
<p><b>Comments:</b> The increased demand and rising costs for supporting children with SEND is still a national issue and the Department for Education has published its SEND/AP improvement plan:  <a href="https://www.gov.uk/government/publications/send-and-alternative-provision-improvement-plan">https://www.gov.uk/government/publications/send-and-alternative-provision-improvement-plan</a>  There is a 2-year national change programme associated with this which RCC will be fully engaged in to ensure reforms are implemented well.</p>		


**[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: 76	<b>Risk Title: Failure to address increasing SEND costs and provide an inclusive learning offer</b>
<p>The Council is also part of the Delivering Better Value in SEND programme which provides dedicated support and funding to help local authorities with substantial, but less severe, deficit issues to reform their high needs systems; we fit this profile. A grant submission and implementation plan have been completed which secured a £1m grant to enable us to implement the necessary changes and development to address the growth of the deficit on the high needs block.</p> <p>A joint OFSTED/CQC Area SEND Inspection took place in May 2023 which was positive about the outcomes we are achieving for our children with SEN/D in Rutland. Published in July 2023.</p>	


**[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: 7	<b>Risk Title: Failure to put in place plans to support growth with appropriate infrastructure</b>	
 A special place	<p><b>Actions</b></p> <ul style="list-style-type: none"> <li>• <b>[IMP]</b> New IDP to be developed alongside new Local Plan <ul style="list-style-type: none"> <li>○ Due for completion December 2024</li> <li>○ Working group is overseeing all Local Plan work</li> </ul> </li> <li>• <b>[IMP]</b> Governance framework for CIL embedded. <ul style="list-style-type: none"> <li>○ Funding be included as part of the Capital Strategy and Capital Programme as part of the MTFS in February 2024</li> </ul> </li> <li>• <b>[IMP]</b> Infrastructure priorities to be agreed <ul style="list-style-type: none"> <li>○ Cabinet approved indicative allocations and spending framework in December 2022</li> <li>○ To be included as part of the Capital Strategy and Capital Programme as part of the MTFS in February 2024</li> </ul> </li> </ul>	<p><b>Controls</b></p> <ul style="list-style-type: none"> <li>• Existing plan in place – Infrastructure Delivery Plan</li> <li>• Infrastructure requirements identified linked to CIL.</li> <li>• Key infrastructure requirements are monitored on a regular basis e.g. School Places.</li> <li>• Specific projects in place to meet specific need</li> <li>• Balances of s106 and CIL used to fund activity</li> <li>• Infrastructure funding statement published annually as part of the Medium Term Financial Plan</li> <li>• Projects managed in accordance with the Council’s project management policy</li> </ul>
Owner: Strategic Director for Places		
Inherent Score:  <b>12</b>		
Residual Score:  <b>6</b> ↔		
Date Risk Added: November 2016		
Last Review Date: November 2023		
<b>PREVIOUS ACTIONS (REMOVED OR CLOSED)</b> None		
<b>Comments:</b> The Council were successful in its bid submission for Levelling up Bid funds (jointly with Melton) for c£23m.		


**[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: 78	<b>Risk Title: Failure to achieve expectations of customers across key service areas.</b>	
 A modern & effective Council	<b>Actions</b> <ul style="list-style-type: none"> <li>• <b>[IMP]</b> Customer Services strategy to be refreshed as part of Corporate Plan work <ul style="list-style-type: none"> <li>○ Review of opportunities available for customer service arrangements as part of the transformation project</li> <li>○ Work on service standards progressed</li> <li>○ Opportunities developed as part of the budget setting process</li> </ul> </li> <li>• <b>[IMP]</b> External website continues to be used as a platform to transform the customer experience as identified in the Transformation project review. <ul style="list-style-type: none"> <li>○ Opportunities developed as part of the budget setting process such as increased digital functionality to increase accessibility to Council services.</li> </ul> </li> </ul>	<b>Controls</b> <ul style="list-style-type: none"> <li>• Customer KPIs in place across key service areas.</li> <li>• External feedback in areas like Better Care Fund/Social Care.</li> <li>• Customer Service Standards in place.</li> <li>• Complaints, compliments and comments recorded and analysed.</li> <li>• Access to Council services available through various channels.</li> <li>• Enhanced website</li> <li>• MyAccount further embedding and roll out of functionality across services.</li> </ul>
Owner: Leadership Team		
Inherent Score:  <b>6</b>		
Residual Score:  <b>6 ↔</b>		
Date Risk Added: October 2019		
Last Review Date: November 2023		
<b>PREVIOUS ACTIONS (REMOVED OR CLOSED)</b> None		
<b>Comments:</b> The use of MyAccount continues to be well received with 2,357 new registrations from 1st April 2023 to 30th September 2023. Enhanced reception facilities to Catmose House incorporated in September 2023 through floor walker model to aid customers using the area.		

**[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: 10	<b>Risk Title: Failure to protect the health and safety of employees and members of the public</b>	
 A modern & effective Council	<b>Actions</b> <ul style="list-style-type: none"> <li>• <b>[IMP]</b> H&amp;S Corporate framework to be implemented. <ul style="list-style-type: none"> <li>○ Corporate H&amp;S Group to assess implementation status – this work is ongoing.</li> <li>○ Internal Audit have completed a health check review.</li> <li>○ Health and Safety risk assessment process launched with Extended Leadership Team</li> </ul> </li> <li>• <b>[IMP]</b> Review of H&amp;S Strategy and Plan – adopt ISO45001 as a framework for assessment and planning purposes.</li> <li>• <b>[IMP]</b> Enhancement of the strategic approach with H&amp;S reports taken to CLT on quarterly basis</li> <li>• <b>[IMP]</b> Enhancement of H&amp;S advice and reporting through use of the new Intranet</li> <li>• <b>[IMP]</b> Review and enhancement of access to first aiders given the hybrid nature of office locations. Lead Officer proposal considered with training to be undertaken</li> <li>• <b>[IMP]</b> Revised membership of the Joint Safety Committee facilitating timely review of the Terms of Reference for the group and ensure appropriate representation in attendance from services across the Council</li> </ul>	<b>Controls</b> <ul style="list-style-type: none"> <li>• Joint safety committee in place that reviews internal risk reports.</li> <li>• Contract procedure rules require contract managers to take due regard of health and safety when procuring contracts.</li> <li>• Managers complete risk assessments for service activities and review annually – monitoring process in place.</li> <li>• Mandatory health and safety training for all staff</li> <li>• Rolling programme of audits ongoing.</li> <li>• Internal H&amp;S group</li> <li>• Annual report to Council on Health and Safety</li> <li>• Safety Management System in Place (follows ISO45001)</li> </ul>
Owner: Strategic Director for Resources		
Inherent Score:  <b>20</b>		
Residual Score:  <b>6 ↔</b>		
Date Risk Added: September 2016		
Last Review Date: November 2023		
<b>PREVIOUS ACTIONS (REMOVED OR CLOSED)</b> None		
<b>Comments:</b> 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).		

**[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: 73	<b>Risk Title: 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).</b>	
A modern & effective Council	<p><b>Actions</b></p> <ul style="list-style-type: none"> <li>• <b>[IMP]</b> Refresh of salary benchmarking for Heads of Service and Director posts – Q2 of 2023/24 - complete</li> <li>• <b>[IMP]</b> A model of Service Workplans to be introduced in 2023-24 as part of our financial management strategy – will assist prioritisation aligned to Corporate Strategy and workload management.</li> <li>• <b>[IMP]</b> Framework agreement in place with a Managed Service Provider to facilitate sourcing of Agency/interim workers where needed to cover urgent gaps/capacity.</li> <li>• <b>[IMP]</b> People Strategy being developed in 2024-5 to include focus on recruitment and retention – help to reduce turnover and retain capacity.</li> <li>• <b>[IMP]</b> Deliver Leadership and Management skills development – Leadership modules delivered in 2023; short management programme in Q4 2023-24; CLT programme in place for Q3/Q4.</li> <li>• <b>[IMP]</b> Quarterly reporting to CLT on key workforce issues and pressures to track and monitor risks and pressures points; identify actions.</li> <li>• <b>[IMP]</b> Corporate Performance management framework in place to track delivery of corporate priorities and service level standards and expectations.</li> <li>• <b>[IMP]</b> Trial of application process based on CV's and specific questions to demonstrate relevant skill sets</li> <li>• <b>[IMP]</b> Revision to Head of HR role to specifically include Organisation Development responsibilities</li> <li>• <b>[IMP]</b> Proactive use of in year forecast underspend position to fund enhanced activity to mitigate this risk</li> <li>• <b>[IMP]</b> Review of Portfolio Holders responsibilities is being undertaken to ensure a balance workloads across members</li> <li>• <b>[IMP]</b> Review of Directors service responsibilities undertaken to ensure a balance workloads across the leadership team</li> </ul>	<p><b>Controls</b></p> <ul style="list-style-type: none"> <li>• Specific recruitment plans in place.</li> <li>• Provision for market supplements in place.</li> <li>• Use of external agencies/partners as approved by CLT</li> <li>• Applicant Tracking System in use, allowing Human Resources to manage the recruitment process better.</li> <li>• Awareness of where there are issues across Directorates</li> <li>• Review of Retention and Recruitment completed by HR</li> <li>• Business Continuity arrangements</li> <li>• Request for Resources from Cabinet/Council</li> <li>• Using grant funding received to bring in dedicated support</li> <li>• Delivered training/workshops for recruiting managers.</li> <li>• Monitoring of corporate and key performance indicators to track any risk to service delivery.</li> <li>• Regular review of capacity across Directorates and Portfolio Holders to ensure resource to to deliver Corporate Strategy</li> </ul>
Owner: Leadership Team		
Inherent Score: <b>20</b>		
Residual Score: <b>15 ↔</b>		
Date Risk Added: September 2019		
Last Review Date: November 2023		

**[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.

**PREVIOUS ACTIONS (CLOSED OR REMOVED)**

None


**Comments:** The Council is continuing to experience resource pressures with on average 25 vacancies at any time. With additional funding, support has been secured from external firms for some projects. But we are still experiencing challenges in bringing in extra support. The position is fluid.

There is a national shortage of health and care workers at all levels and this is particularly acute in care settings. This is impacting local services e.g., both Council and private sector have gaps resulting in care packages being handed back and care providers stopping their contracts with us. We are working with HR to try and be creative, make roles as attractive as possible but we are not confident that this will solve the problem.

Progress on the implementation of projects and performance levels including any potential impact on delivery times arising from staffing issues is shared in the Performance Report.


*[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: <b>74</b>	<b>Risk Title: There is a risk that the Council is not financially stable in the medium term (as evidenced by the gap in MTFP)</b>	
 A modern & effective Council	<b>Actions</b> <ul style="list-style-type: none"> <li>• <b>[IMP]</b> enhanced budget setting process based on Cash Limit allocations on which to design an affordable service over the medium-term budget setting period. Design to include:             <ul style="list-style-type: none"> <li>○ Transformational solutions</li> <li>○ Key performance indicators aligned to the Corporate Strategy</li> <li>○ Identified investment opportunities to help deliver long term financial sustainability.</li> <li>○ Opportunities for efficiencies, enhanced service delivery which lead to ongoing savings identified</li> <li>○ Due diligence on proposals by finance</li> </ul> </li> <li>• <b>[IMP]</b> review the Reserve Strategy as part of the Medium Term Financial Plan (MTFP) to ensure suitable balance allocations between risk management and investment</li> <li>• <b>[IMP]</b> develop a series of Financial Health Indicators for the MTFP to provide warnings where agreed financial strategy is at risk of delivery.</li> <li>• <b>[PRE]</b> to manage in year financial performance managing demand, and mitigating budget pressure risks.</li> <li>• <b>[IMP]</b> deliver the saving initiatives identified in the MTFP and report on achievement as part of the regular financial performance reports to CLT and Cabinet.</li> <li>• <b>[PRE]</b> identify further saving and income generating, additional grant receipt opportunities during the year.</li> </ul>	<b>Controls</b> <ul style="list-style-type: none"> <li>• Medium Term Financial Plan (MTFP) in place</li> <li>• Members adhering to minimum General Fund balances in budget setting</li> <li>• Members understand the need to raise Council Tax</li> <li>• All increases in budget scrutinised to ensure they meet policy objectives and performance standards.</li> <li>• Lobbying for additional funding ongoing including meeting with Minister and MP</li> <li>• Various controls reviewed and continued where appropriate to bring actual expenditure in line with budget where overspends are forecast (e.g. review of recruitment, agency staff etc)</li> <li>• Robust financial performance management of the ongoing Revenue budget throughout the year</li> <li>• Enhanced monitoring and reporting of financial performance with management action taken and risk mitigations for emerging budget pressures</li> <li>• Ongoing project work to assess financial impact of future financial reforms feeding into the funding strategy and changes to service delivery where necessary</li> <li>• Enhanced budget setting process where service provision is designed within the affordability envelope (adoption of Cash Limits)</li> <li>• Involvement in national schemes to develop alternative service delivery models where funding is available such as Delivering Better Value, SEND AP, Levelling Up Funding</li> </ul>
Owner: Strategic Director for Resources		
Inherent Score:  <b>24</b>		
Residual Score:  <b>12 ▼</b>		
Date Risk Added: September 2019		
Last Review Date: November 2023		
<b>PREVIOUS ACTIONS (CLOSED OR REMOVED)</b>		
<ul style="list-style-type: none"> <li>• <b>CLOSED</b> - Direction of travel regarding transformational opportunities for service delivery to achieve financial sustainability to be presented to Cabinet in Summer 2023 - completed</li> <li>• <b>CLOSED</b> - develop a Reserve Strategy as part of the MTFP to provide clear indication of how reserves will be used. – completed</li> <li>• <b>CLOSED</b> – directorate budgets drafted and being built on Cash Limit allocations – completed. Due diligence on proposals being undertaken – ongoing.</li> </ul>		
<b>Comments:</b> Regular review of this risk and the changing economic climate is incorporated into the monthly budgetary control process and reported to the Leadership Team and Cabinet on a regular basis to ensure timely management action.		

**[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: 79	<b>Risk Title: Risk that the Council does not have procurement and commissioning capacity and capability to secure the best possible financial and other outcomes</b>	
 A modern & effective Council	<b>Actions</b> <ul style="list-style-type: none"> <li>• <b>[IMP]</b> Upskill internal team capacity to support more effective commissioning, alongside Service Level Agreement with Welland Procurement Unit for tender procurement support</li> <li>• <b>[IMP]</b> Develop tools to support the commissioning process prior to embarking on any procurements</li> <li>• <b>[PRE]</b> Continue to develop and implement streamlined processes for procurement to create efficiencies in process</li> <li>• <b>[IMP]</b> Update training for all staff on commissioning support and procurement processes to enable self-serve for low value, low risk procurements. This will follow clarity on the new Procurement Act which will come into force in October 2024.</li> </ul>	<b>Controls</b> <ul style="list-style-type: none"> <li>• Council has access and support from Welland Procurement</li> <li>• Commissioning team in place covering all Directorates</li> <li>• Other external support is being brought in to supplement in house resource on key procurements e.g. waste management</li> <li>• Project Teams are in place with all key procurement activity e.g. Leisure, Waste Management, Highways</li> <li>• Lessons learnt include investing in understanding needs and therefore commissioning intentions rather than the process of contracting / procurement</li> </ul>
Owner: Strategic Director for Law & Governance		
Inherent Score: <b>12</b>		
Residual Score: <b>6 ▼</b>		
Date Risk Added: January 2021		
Last Review Date: November 2023		
<b>PREVIOUS ACTIONS (CLOSED OR REMOVED)</b> None		
<b>Comments:</b> Actions updated and amended to reflect current position and take into account challenges identified within the Transformation workstream. The new Procurement Act has been passed and will come into force in October 2024. It significantly changes a number of processes and requirements relating to procurement. Training is expected to be rolled out nationally from March 2024.		

**[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.

**Inherent Risk Score plotted on the Risk Matrix**



**Residual Risk Score plotted on the Risk Matrix**



Risk ID:	Risk Title:
3	Failure to deliver key services should a significant business interruption occur
4	Failure to Safeguard (Children) and a child is significantly abused, hurt, or dies.
5	Failure to Safeguard (Adults) and an adult is significantly abused, badly hurt or dies.
76	Failure to address increasing SEND costs and provide an inclusive learning offer
7	Failure to put in place plans to support growth with appropriate infrastructure
78	Failure to achieve expectations of customers across key service areas.
10	Failure to protect the health and safety of employees and members of the public
73	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).
74	There is a risk that the Council is not financially stable in the medium term (as evidenced by the gap in MTFP)
79	Risk that the Council does not have procurement and commissioning capacity and capability to secure the best possible financial and other outcomes