Risk No.	Description of the risk	SMT Owner	Current Controls	Current Risk Score			Actions to Achieve Target	Target Risk Score			Current status
				I	L	Score		I	L	Score	
1	Failure to recruit and retain sufficient skilled staff to ensure safe and effective service delivery Causes: • Ineffective recruitment procedures • Less favourable pay terms and conditions compared to the market • Ineffective management • Lack of opportunities for development and progression Consequences: • Increased cost of recruiting interims to cover vacancies • Failure to deliver services • Poor staff morale	D Mogg	• Specific recruitment plans in place for teams experiencing difficulties with recruitment. Innovative approaches being taken. • Maximum alignment to national terms and conditions • Health and Wellbeing programme in place for staff which continues to expand • Corporate training programme in place along with a Leadership Development programme. • Workforce Development Strategy approved in January 2016. • Part of regional and national pay networks • Regular market comparison of pay levels through epay check. • Exit interview analysis and monitoring of turnover	2	4	8	• Working groups in place to address the issues identified from the 2015 staff survey in respect of communication, wellbeing, environmental factors and mental health. • Staff survey to be undertaken again early 2017 • Action plans required, to deliver the workforce development strategy which include specific actions around recruitment • Development of improved marketing and recruitment strategies • Completion of Senior pay review to evaluate all senior roles and review the pay policy	2	3	6	Further action required and this is built into the relevant work plans.

Risk No.	Description of the risk	SMT Owner	Current Controls	Current Risk Score			Actions to Achieve Target	Target Risk Score			Current status
				I	L	Score		I	L	Score	
2	There is a risk that the Council cannot meet its statutory requirement to produce a robust and balanced budget now or in the medium term Causes: • further losses of government funding • failure to identify or deliver savings programmes • unanticipated demand • unforeseen event • unwillingness to use our revenue generating powers (fees, council tax, precept etc) • failure to deliver growth Consequences: • Breach of statutory requirement • Erosion of reserves below recommended levels • Drastic action needed to rectify the positions e.g. cuts	S Della Rocca	• Lobbying of Government (done individually and with LGA/SPARSE) • Key savings programmes monitored by Directorate team, SMT and through quarterly monitoring • New saving programme to be developed in 16-17 for Places directorate • Maintenance of a 5-year MTFP with funding and other risks detailed in Budget and Quarterly reports • Risks quantified as far as possible and build into MTFP e.g. Living Wage, Contracts • Overall financial context discussed and shared with SMT/Cabinet formally and informally including sensitivity analysis over key variables • Economic development plan in place and key growth project (OEP)	4	2	8	• Agree by June 2016 a savings programme process for Places Directorate (HB)	4	2	8	Process has been discussed and a formal process has now to be agreed

Risk No.	Description of the risk	SMT Owner	Current Controls	Current Risk Score			Actions to Achieve Target	Target Risk Score			Current status
				I	L	Score		I	L	Score	

3	Failure to deliver key services should a significant business interruption occur, include supplier failure.
	
	Causes:
	• Natural disasters
	• Fire
	• ITC system failure
	• Restricted access to premises
	• Loss of utilities
	• Outbreak of disease or infection
	• Terrorist attack
	• Theft or vandalism
	• Failure of key suppliers or contractors
	
	Consequences:
	• Failure to deliver key services
	• Breach of statutory duty
	Reputational damage
		D Brown	• 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.
			• A Major Incident Plan has been prepared which defines a structure to:
			  ○ Confirm the nature and extent of any incident;
			  ○ Take control of the situation;
			  ○ Contain the incident; and
			  ○ Communicate with stakeholders.
			• Specific recovery plans are in place for the 5 key threats:
			  ○ loss of key staff (skills/knowledge);
			  ○ loss of telephone system;
			  ○ loss of buildings;
			  ○ loss of ICT; and
			  ○ loss of utilities.
			• SMT approved a revised BIA and
				4	3	12	• An SMT exercise is planned to test of the Major Incident Plan in January 2016.
							• Recovery plans will be reviewed in March 2016.
							• Checks required to ensure contracts are being risk assessed and appropriate mitigation is in place.
							• An additional recovery plan required for the supported living service.
								3	3	9	Further action required.

Risk No.	Description of the risk	SMT Owner	Current Controls	Current Risk Score			Actions to Achieve Target	Target Risk Score			Current status
				I	L	Score		I	L	Score	
			recovery plans in June 2015. • Business continuity documents have been uploaded to a secure website (Resilience Direct) to ensure they can be accessed from any site in the event of an incident. • Contract procedure rules include the requirement for contract managers to consider the impact of contractor failure and mitigate the risks appropriately.								
4	Failure to Safeguard (Children) and a child is significantly abused, badly hurt or dies. Causes: • Case not being known • Failing to identify risk after referral • Failing to effectively assess risk at the correct level • Failure to put relevant safeguards in place • Poor information	TON	• Processes and procedures in place to protect the most vulnerable. • Scrutiny and overview from the Safeguarding Boards. • Monthly performance and financial monitoring by senior officers and update reports to Cabinet. • High quality, timely information contained within case files. • High quality, timely management oversight.	3	3	9	• Service Improvement Plan delivered phase 1 – March 16; phase 2 – March 17. • Phase 1 includes: • Introduction of new quality assurance process • Introduction of new performance management framework • Implement new recruitment approach including retention payments for social workers	2	3	6	• Significant issues of interim staff have been addressed in part by the Recruitment/retention strategy. Residual risk remains on certain significant posts.

Risk No.	Description of the risk	SMT Owner	Current Controls	Current Risk Score			Actions to Achieve Target	Target Risk Score			Current status
				I	L	Score		I	L	Score	
	sharing Consequences: • Intensive scrutiny by Public and Press • Reputation damage • Potential loss of frontline staff • Potential external intervention • Requirement to undertake and publish a serious case review • Potentially high legal costs		• Revised supervision process to ensure early information. • Ensuring we have sufficient competent staff to safeguard children and there is no unallocated work. • Case auditing to identify any shortfalls in practice and to identify where further action is required to keep children safe. • Development of clear practice standards so staff know what is expected of them. • Case tracker to ensure visits are being undertaken. • Management oversight recorded on file. • Effective Staff training • Strict application of the panel process.								
5	Failure to Safeguard (Adult's) and an adult is significantly abused, badly hurt or dies. Causes: • Case not being known • Failing to identify risk after referral	TON	• Processes and procedures in place to protect the most vulnerable. • Scrutiny and overview from the Safeguarding Boards. • Monthly performance	3	3	9	• Implement new recruitment approach including retention payments for social workers – Jan 16 • Development and embedding of Prevention &	2	3	6	• Significant issues of interim staff have been addressed in part by the Recruitment/retention strategy. Residual risk remains on certain significant

Risk No.	Description of the risk	SMT Owner	Current Controls	Current Risk Score			Actions to Achieve Target	Target Risk Score			Current status
				I	L	Score		I	L	Score	
	• Failing to effectively assess risk at the correct level • Failure to put relevant safeguards in place • Poor information sharing Consequences: • Intensive scrutiny by Public and Press • Reputation damage • Potential loss of frontline staff • Potential external intervention • Requirement to undertake and publish a serious case review • Potentially high legal costs		and financial monitoring by senior officers and update reports to Cabinet. • High quality, timely information contained within case files. • High quality, timely management oversight by DASM. • Ensuring we have sufficient expert and competent staff • Case auditing to identify any shortfalls in practice and to identify where further action is required • Development of clear practice standards so staff know what is expected of them. • Management oversight recorded on file alongside regular supervision. • Effective Training of				Safeguarding team – March 16 • Implementation and embedding MSP now incorporated in the Care Act – March 16				posts.

Risk No.	Description of the risk	SMT Owner	Current Controls	Current Risk Score			Actions to Achieve Target	Target Risk Score			Current Status
				I	L	Score		I	L	Score	
6	Long term failure to achieve educational attainment.		• Monitoring by officers • Education	4	3	12	• Implementation of year 1 of the learning and	4	2	8	• Positive one academic year

	Causes: • Poor quality teaching, learning and governance in schools. • Poorer family engagement in the home. Consequences: • Reputation damage • Reputation damage • Potential external intervention		Performance Board to review schools. • Increased scrutiny and intervention in schools causing concern. • Regular liaison with DfE and Ofsted • Effective early help support				skill strategy, particularly in relation to categorisation and monitoring of school outcomes – August 16 • Implementation of year 1 of the early help strategy – March 16		improvement across all Key Stages not yet sustained over longer period • Developing strong partnership schools and academies again this needs to be sustained

Risk	Description of the risk	SMT	Current Controls	Current Risk Score	Actions to Achieve	Target Risk Score	Current Status

No.		Owner		I	L	Score	Target	I	L	Score	
7	Failure to put in place the infrastructure to support growth Causes: • Development occurs at a faster pace than anticipated • Infrastructure needs are not identified and provided for Consequences: • Complaints from community and potential risk of legal challenge	H Briggs	• Infrastructure requirements fully identified linked to CIL and the 123 list • Regularly reviewed • Key infrastructure requirements are monitored on a regular basis e.g. School Places • Specific projects in place to meet specific need including:- Digital Rutland – Broadband OEP – employment and business growth Schools Programme – School and Learning places • Medium Term financial plan and level of balances would facilitate urgent action to be taken if required	2	2	4	• Continue to review the 123 list and prioritise the most significant requirements • Ensure CIL implemented and receipts are collected and targeted at need • Review key areas as at present	2	2	4	• Actions are in place to deliver against current demand and need

Risk No.	Description of the risk	SMT Owner	Current Controls	Current Risk Score	Actions to Achieve Target	Target Risk Score	Current Status

Risk No.	Description of the risk	SMT Owner	Current Controls	I	L	Score	Actions to Achieve Target	I	L	Score	Current Status
8	Failure to secure delivery of change required within Health & Social Care Causes: • Insufficient funding • Demand exceeds expectations • Challenge to changes slows the process down Consequences: • Ineffective service delivery and on-going cost pressure and impact on MTFP	H Briggs	• Risk highlighted and an allowance made within our MTFP • Playing a key role in the LLR BCT Project • Working directly with ELRCCG to achieve improved care pathways and focus on 'Left Shift' and its impact • Focussing on early intervention and prevention • ASC strategy being revised • New commissioning framework being developed • Better Care Fund evolving and initial outcomes are positive	3	4	12	• Need to remain engaged in BCT project • Quantify and risk assess the impact on Social Care of BCT changes • Continue with Care Pathway reviews and changes • Expand BCF to accommodate the impact of Left Shift • Continue to make adequate and appropriate provision within our MTFP • Ensure our commissioning framework is sufficiently flexible to accommodate pressure from spikes in demand	2	2	4	• Although significant work is on-going this is still at an early stage and requires a sustained focus

Risk	Description of the risk	SMT	Current Controls	I	L	Score	Actions to Achieve	I	L	Score	Current Status
9	Failure to manage the public's perception of the Council Causes: • A significant failing in service provision Consequences: • Loss of confidence and significant resource required to improve thus distracting from service delivery	H Briggs	• The Council works hard and proactively to present a positive image through a number of channels including:- Web Site Local press through PR's Social Media Rutland Radio • The Council's Strategic Communication Advisor provides advice and training where required for Officers and Members • If additional support is required this is available and has been used during 2015 to good effect • SMT monitor current issues and assess the likely impact positive and negative. Where required communication strategies are developed customised to the event etc?	2	2	4	• Continue current actions as outlined • Media training being refreshed in 2016 • Expanding Social Media presence • Web site being redeveloped • Customer Services being reviewed • Plan in place for responses to events as they occur e.g. Resilience Issues	2	2	4	• Recent experience has tested current plans and they have met the test. Active learning will feed into on-going review of plans.

No.		Owner		Score			Target		Score			
				I	L	Score			I	L	Score	
10	Failure to protect the health and safety of employees and members of the public Causes: • Non-compliance with health and safety legislation Consequences: • Employee or customer injury • Regulatory fine • Reputational damage	P Phillipson	• Full time health and safety advisor employed who reviews health and safety implications of all policies and contracts. • Joint safety committee in place that reviews all internal risk reports such as RIDOR forms. • 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 as part of induction process.	2	3	6	• Corporate health and safety risk assessment template required. • Central register of risk assessments.	2	3	6	Live

Risk No.	Description of the risk	SMT Owner	Current Controls	Current Risk Score			Actions to Achieve Target	Target Risk Score			Current Status
				I	L	Score		I	L	Score	

| 11 | Failure of corporate governance (incl data governance) with service, financial or reputational consequences

Causes:

• Serious data breach
• Breakdown in internal control
• Decision taken without the proper authority
• Fraud

Consequences:

• Non-achievement of objectives
• Reputational damage
• Financial loss or fine | D Mogg | • Constitution, including scheme of delegation
• Annual Governance Statement
• Corporate compliments, comments and complaints scheme
• Member and Officer Codes of Conduct
• Member Training Programme
• Policies in place re Bribery, Whistleblowing, Anti-fraud and corruption
• Clear management structure
• Data Protection Policy and Procedures supported by training
• IT security policy
• Track ICO guidance
• Proactive internal audit service | 3 | 2 | 6 | • Complete review of scheme of delegation to take place by March 2016
• Further development of the Members training programme
• IT security policies to be reviewed | 3 | 2 | 6 | Ongoing |