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	2	3	6	Further action required and this is built into the relevant work plans.

Risk Scores: I = Impact L = Likelihood

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				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 • changes in government policy or funding regime 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 (see opposite) • 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) • Budget for 17/18 to include a corporate savings target covering all Directorates supported by indicative plans. Some information to be provided in Efficiency Plan to go to Cabinet in August. • Impact of Brexit to be considered in due course. Advice being sought from Treasury and Pension Fund advisors.	4	2	8	List of savings projects for Places being developed and will be consolidated into budget for 17/18. All Directorates working up savings idea. Treasury advisors have issued some initial information re interest rate forecasts but there is little change at this point.
3	Failure to deliver key services should a significant	D Brown	• A Business Impact Assessment (BIA) has	4	3	12	• An SMT exercise is planned to test the	3	3	9	Further action required.

Risk Scores: I = Impact L = Likelihood

July 2016

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	

	business interruption occur, including 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
	• Ransomware attack
	
	Consequences:
	• Failure to deliver key services
	• Breach of statutory duty
	• Reputational damage
			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.
			• Business continuity documents have been uploaded to a secure website (Resilience Direct) to ensure they can be accessed from
							Major Incident Plan was undertaken in April 2016.
							• Recovery plans will be reviewed following the exercise.
							• Checks required to ensure contracts are being risk assessed and appropriate mitigation are in place.
							• An additional recovery plan is required for the supported living service.
							• Continued focus on raising awareness with staff about the risk of ransomware.
							• Further revision of IT controls and response plan in the event of a ransomware attack based on the learning from Lincolnshire.				

Risk Scores: I = Impact L = Likelihood

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				I	L	Score		I	L	Score	
			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 sharing Consequences: • Intensive scrutiny by Public and Press • Reputation damage • Potential loss of frontline staff • Potential external	Tim O'Neill	• 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. • 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	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 • Review of children's duty front door services to ensure appropriate partnership/community referrals – completed.	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 Scores: I = Impact L = Likelihood

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	
	intervention • Requirement to undertake and publish a serious case review • Potentially high legal costs		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 (Adults) and an adult 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 sharing Consequences: • Intensive scrutiny by Public and Press • Reputation damage • Potential loss of	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 by DASM. • Ensuring we have sufficient expert and	3	3	9	• Implement new recruitment approach including retention payments for social workers – Jan 16 • Development and embedding of Prevention & Safeguarding team – March 16 • Implementation and embedding MSP now incorporated in the Care Act – March 16	2	3	6	• Adult scrutiny have scrutinised procedures related to care home and measures in place to safeguard. • Adult scrutiny will next be scrutinising home care. • Significant issues of interim staff have been addressed in part by the Recruitment/retention strategy. Residual risk remains on certain significant posts.

Risk Scores: I = Impact L = Likelihood

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	
	frontline staff • Potential external intervention • Requirement to undertake and publish a serious case review • Potentially high legal costs		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 Staff								
6	Long term failure to achieve educational attainment. Causes: • Poor quality teaching, learning and governance in schools. • Poorer family engagement in the home. Consequences: • Reputation damage • Reputation damage • Potential external intervention		• Monitoring by officers • Education Performance Board to review schools. • Increased scrutiny and intervention in schools causing concern. • Regular liaison with DfE and Ofsted • Effective early help support	4	3	12	• Implementation of year 1 of the learning and 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	4	2	8	• Positive one academic year improvement across all Key Stages not yet sustained over longer period • Developing strong partnership schools and academies again this needs to be sustained

Risk Scores: I = Impact L = Likelihood

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				I	L	Score		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

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July 2016

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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 – evidence from BCF outcomes is strong in most areas • ASC strategy is now at the consultation stage • New commissioning framework being developed • Better Care Fund evolving and initial outcomes are positive	3	5	15	• 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 – the second BCF is currently going through the assurance process prior to agreement at H & W Board • 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 • The Social Care precept has assisted in this area but has not entirely mitigated the pressure within the MTFP • Work has begun on looking at activity trends and projecting these forward to test the adequacy of social care contingencies in the MTFP

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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 pro-actively 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.

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July 2016

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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

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July 2016

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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 • Fraud risk register in place and has been reviewed for April Audit and Risk Committee – no major issues highlighted	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 • Review of constitution, finance procedure rules and contract procedure rules	3	2	6	Ongoing Review of constitution, finance procedure rules and contract procedure rules has been undertaken and various changes proposed for Council to consider at its July meeting.

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12	Failure to successfully manage the transition to new Leadership of the Council Causes: • Unexpected death of former Leader prevented a planned, comprehensive handover to the current Leader. • Current Leader recuperating from an operation • Changes to portfolios means that Cabinet members have taken on new and additional responsibilities Consequences: • Non-achievement of objectives	H Briggs	• Comprehensive induction process for portfolio holders • Training fund available for specific/technical training for Cabinet • Dedicated strategic planning time set aside for Cabinet and SMT. • Deputy Leader shadowing Leader • LGA Support for Cabinet Development	2	3	6	• No additional actions required	2	3	6	

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