

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	<p>Failure to recruit and retain sufficient skilled staff to ensure safe and effective service delivery</p> <p>Causes:</p> <ul style="list-style-type: none"> Ineffective recruitment procedures Less favourable pay terms and conditions compared to the market Ineffective management Lack of opportunities for development and progression <p>Consequences:</p> <ul style="list-style-type: none"> Increased cost of recruiting interims to cover vacancies Failure to deliver services Poor staff morale 	D Mogg	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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.

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2	<p>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</p> <p>Causes:</p> <ul style="list-style-type: none"> 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 <p>Consequences:</p> <ul style="list-style-type: none"> Breach of statutory requirement Erosion of reserves below recommended levels Drastic action needed to rectify the positions e.g. cuts 	S Della Rocca	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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. Formal response to funding consultations on Business Rates Retention and Early Years Funding. 	4	2	8	<p>All Member briefing on outline savings proposals for 17/18 to be delivered in September.</p> <p>All Directorates working up savings idea for beyond 17/18.</p> <p>No further advice re impact of Brexit so this will be still kept under review.</p> <p>Consultation documents have been reviewed and responses being prepared.</p>
3	Failure to deliver key services should a significant	D Brown	<ul style="list-style-type: none"> A Business Impact Assessment (BIA) has 	4	3	12	<ul style="list-style-type: none"> An SMT exercise was carried out in April 	3	3	9	Further action required.

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	<p>business interruption occur, including supplier failure.</p> <p>Causes:</p> <ul style="list-style-type: none"> • 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 <p>Consequences:</p> <ul style="list-style-type: none"> • Failure to deliver key services • Breach of statutory duty • Reputational damage 		<p>been carried out to determine which services are critical, how quickly they must be restored and the minimum resources required.</p> <ul style="list-style-type: none"> • A Major Incident Plan has been prepared which defines a structure to: <ul style="list-style-type: none"> ○ 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: <ul style="list-style-type: none"> ○ 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 				<p>2016 to test the Major Incident Plan and the recovery plans.</p> <ul style="list-style-type: none"> • The Major Incident Plans have been reviewed and updated following the exercise. The recovery plans are being reviewed and will be reissued in November 2016. • An additional recovery plan is required for the supported living service. • Checks required to ensure contracts are being risk assessed and appropriate mitigation are in place. • 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. 				

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			any site in the event of an incident. <ul style="list-style-type: none"> 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: <ul style="list-style-type: none"> 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: <ul style="list-style-type: none"> Intensive scrutiny by Public and Press Reputation damage Potential loss of frontline staff Potential external 	Tim O'Neill	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Service Improvement Plan delivered phase 1 – March 16; phase 2 – March 17. Phase 2 includes: <ul style="list-style-type: none"> Embedding regular case file review and audit Improving workforce development (inc. accreditation and routes for career progressions), Securing high quality and consistent practice Embedding Signs of Safety Monitor issues with workforce capacity in care provides post Brexit. – March 17 	2	3	6	<ul style="list-style-type: none"> Significant issues of interim staff have been addressed in part by the Recruitment/ retention strategy. Residual risk remains on certain significant posts.

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	<p>intervention</p> <ul style="list-style-type: none"> Requirement to undertake and publish a serious case review Potentially high legal costs 		<p>and to identify where further action is required to keep children safe.</p> <ul style="list-style-type: none"> 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	<p>Failure to Safeguard (Adults) and an adult is significantly abused, badly hurt or dies.</p> <p>Causes:</p> <ul style="list-style-type: none"> 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 <p>Consequences:</p> <ul style="list-style-type: none"> Intensive scrutiny by Public and Press Reputation damage Potential loss of 	Tim O'Neill	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Continue to utilise new recruitment approach including retention payments for social workers to secure permanent recruitment in final vacant posts – Dec 16 Embed Prevention & Safeguarding team – March 17 Embed MSP now incorporated in the Care Act – March 17 Monitor issues with workforce capacity in care provides post Brexit. – March 17 	2	3	6	<ul style="list-style-type: none"> Adult scrutiny have scrutinised procedures related to care home and measures in place to safeguard. Adult scrutiny have scrutinised procedures related to care home and measures in place to safeguard. Significant issues of interim staff have been addressed in part by the Recruitment/retention strategy. Residual risk remains on certain significant posts.

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	<p>frontline staff</p> <ul style="list-style-type: none"> Potential external intervention Requirement to undertake and publish a serious case review Potentially high legal costs 		<p>competent staff</p> <ul style="list-style-type: none"> 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	<p>Long term failure to achieve educational attainment.</p> <p>Causes:</p> <ul style="list-style-type: none"> Poor quality teaching, learning and governance in schools. Poorer family engagement in the home. <p>Consequences:</p> <ul style="list-style-type: none"> Reputation damage Reputation damage Potential external intervention 	Tim O'Neill	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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

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7	<p>Failure to put in place the infrastructure to support growth</p> <p>Causes:</p> <ul style="list-style-type: none"> Development occurs at a faster pace than anticipated Infrastructure needs are not identified and provided for <p>Consequences:</p> <ul style="list-style-type: none"> Complaints from community and potential risk of legal challenge 	H Briggs	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Actions are in place to deliver against current demand and need

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8	<p>Failure to secure delivery of change required within Health & Social Care</p> <p>Causes:</p> <ul style="list-style-type: none"> Insufficient funding Demand exceeds expectations Challenge to changes slows the process down <p>Consequences:</p> <ul style="list-style-type: none"> Ineffective service delivery and on-going cost pressure and impact on MTFP 	H Briggs	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<p>Failure to manage the public's perception of the Council</p> <p>Causes:</p> <ul style="list-style-type: none"> A significant failing in service provision <p>Consequences:</p> <ul style="list-style-type: none"> Loss of confidence and significant resource required to improve thus distracting from service delivery 	H Briggs	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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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10	<p>Failure to protect the health and safety of employees and members of the public</p> <p>Causes:</p> <ul style="list-style-type: none"> Non-compliance with health and safety legislation Failure to take adequate 'duty of common law' care <p>Consequences:</p> <ul style="list-style-type: none"> Employee or customer injury Regulatory fine Reputational damage Compensation/affects to insurance costs 	P Phillipson	<ul style="list-style-type: none"> 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 RIDDOR forms and Safety Policy. 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	<ul style="list-style-type: none"> Corporate health and safety risk assessment template required. Central register of risk assessments. 	2	3	6	Live

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11	<p>Failure of corporate governance (incl data governance) with service, financial or reputational consequences</p> <p>Causes:</p> <ul style="list-style-type: none"> Serious data breach Breakdown in internal control Decision taken without the proper authority Fraud <p>Consequences:</p> <ul style="list-style-type: none"> Non-achievement of objectives Reputational damage Financial loss or fine 	D Mogg	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Complete review of scheme of delegation to take place by March 2017 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

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12	<p>Failure to successfully manage the transition to new Leadership of the Council</p> <p>Causes:</p> <ul style="list-style-type: none"> • 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 <p>Consequences:</p> <ul style="list-style-type: none"> • Non-achievement of objectives 	H Briggs	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • No additional actions required 	2	3	6	

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