

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.

Actions:

All actions have a 3 letter code defined as follows:

[IMP] – An action that will improve the likelihood/impact of the risk once the action is completed.

[PRE] – A preventative action, which will not improve the risk but will prevent it from getting worse.

Risk ID: 3	Risk Title: Failure to deliver key services should a significant business interruption occur	
Owner: Director – Places	Actions <ul style="list-style-type: none">• [PRE] Zurich Municipal have been asked to do a Business Continuity health check, to take place after December 2019<ul style="list-style-type: none">○ Added September 2019○ Completion date to be confirmed• [IMP] Due to changes in Places Directorate, an operational lead to support Director in delivery of Business Continuity to be identified as part of Structure Review<ul style="list-style-type: none">○ Added September 2019○ Managers are updating business continuity plans as part of ongoing business○ Due for Completion December 2019○ Revised deadline March 2020	Controls <ul style="list-style-type: none">• A Major Incident Plan has been prepared• Specific recovery plans are in place for the 5 key threats (loss of staff, telephone system, buildings, ICT, Utilities)• Business Continuity documents have been uploaded to a secure website (Resilience Direct)• Contract procedure rules include the requirement for managers to consider the impact of contractor failure and mitigate the risks appropriately• Business Continuity arrangements audited by Internal Audit• Recovery plans tested regularly – last exercise was at Senior Managers Forum, July 2019
Inherent Score: 12		
Residual Score: 4		
Date Risk Added: September 2016		
Last Review Date: September 2019		
Comments: Zurich review will take place prior to the end of March. We are waiting for this to be scheduled. Should additional recruitment be required as part of the Structure review then a further action will be added.		

Risk ID: 4	Risk Title: Failure to Safeguard (Children) and a child is significantly abused, hurt, or dies.	
Owner: Director - People	Actions <ul style="list-style-type: none">• [IMP] Implement Leicestershire, Leicester and Rutland (LLR) Domestic and Sexual Violence and Abuse Strategy to reduce the prevalence, likelihood and harm of domestic and sexual violence and abuse.<ul style="list-style-type: none">○ Due for completion March 2021• [IMP] Deliver a refreshed Joint Exploitation strategy to continue to prevent and reduce exploitation in Rutland.<ul style="list-style-type: none">○ Due for completion April 2022	Controls <ul style="list-style-type: none">• Processes and procedures in place to protect the most vulnerable• Ensuring we have sufficient competent, trained staff to safeguard children and there is no unallocated work• Clear practice standards in place so staff know what is expected of them.• Children's services development plan finalised and subject to monthly progress reviews.• High quality management oversight of all Children's Social Care practice.• Comprehensive Performance Management and Quality Assurance framework in place.
Inherent Score: 20		
Residual Score: 8		
Date Risk Added: September 2016		
Last Review Date: October 2019		
Comments: The number of Children Looked After has increased from 33 to 42 since the end of March 2019. The last 'focused' visit from OFSTED was in March 2019 and a full judgement inspection is due between November 2019 and April 2020.		

Risk ID: 5	Risk Title: Failure to Safeguard (Adults) and an adult is significantly abused, badly hurt or dies.	
Owner: Director - People	Actions <ul style="list-style-type: none">• [IMP] Ongoing audits to consider practitioner application of safeguarding thresholds during triage.<ul style="list-style-type: none">○ Added July 2019○ Due for completion December 2019○ Revised deadline March 2020• [PRE] Audit put in place to ensure correct understanding and processes when safeguarding notifications are multi agency as opposed to single agency. This is to ensure shared risk and correct agency investigating.<ul style="list-style-type: none">○ Added July 2019○ Due for completion December 2019○ Revised deadline March 2020	Controls <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 offices and updates to Cabinet.• High quality, timely information contained within case files.• High quality, timely management oversight by DASM.• Clear practice standards in place so staff know what is expected of them.• Management oversight recorded on file alongside regular supervision.• Effective training of staff.• Comprehensive Performance Management and Quality Assurance framework in place.
Inherent Score: 15		
Residual Score: 6		
Date Risk Added: September 2016		
Last Review Date: October 2019		
Comments: *The Care Act 2014 (Section 42) requires that each local authority must make enquiries, or cause others to do so, if it believes an adult is experiencing, or is at risk of, abuse or neglect. An enquiry should establish whether any action needs to be taken to prevent or stop abuse or neglect and if so, by whom.		

Risk ID: 76	Risk Title: Failure to address increasing SEND costs and provide an inclusive learning offer	
Owner:	Actions <ul style="list-style-type: none">• [IMP] Working on a new model of delivery for children with SEND through SEND Strategic Partnership.<ul style="list-style-type: none">○ Due for completion 31st March 2020.• [IMP] Review SEND funding models for schools and single providers to make sure that we are spending funding in the most effective manner.<ul style="list-style-type: none">○ Due for completion July 2020• [IMP] Review existing Designated Special Provisions<ul style="list-style-type: none">○ Due for completion September 2021	Controls <ul style="list-style-type: none">• SEND recovery plan in place and actioned.• Monitoring by officers – regular scrutiny of performance data, finance and outcomes.• SEND Programme Board scrutinises progress of SEND recovery plan.• Continue to expand our In-County special education options for children with SEND so more children are educated closer to home.• Support and enable our Early Years Settings to meet the needs of all children and families so all Rutland families have access to early education which meets identified needs.
Director - People		
Inherent Score:		
15		
Residual Score:		
12		
Date Risk Added:		
October 2019		
Last Review Date:		
October 2019		
Comments: <p>The increased demand and rising costs for supporting children with SEND is a national issue and the Department for Education is completing a review into current arrangements and funding streams. Without changes nationally, the SEND recovery plan in Rutland is unlikely to fully address the current and long term budget pressures.</p>		

Risk ID: 7	Risk Title: Failure to identify infrastructure needs to support growth and put in place plans to deliver it.	
Owner: Director - Places	Actions <ul style="list-style-type: none">• None	Controls <ul style="list-style-type: none">• Existing plan in place – Infrastructure Delivery Plan• Infrastructure requirements identified linked to CIL.• Key infrastructure requirements are monitored on a regular basis e.g. School Places.• Specific projects in place to meet specific need including;<ul style="list-style-type: none">○ Digital Rutland – Broadband.○ OEP – Employment/business growth.○ Schools – Schools and learning places.• Balances of s106 and CIL being held pending refresh of IDP.
Inherent Score: 12		
Residual Score: 4		
Date Risk Added: November 2016		
Last Review Date: September 2019		
Comments: <p>The IDP has been completed and released with rest of Local Plan supporting documents for approval by Cabinet and Council in January 2020. Naturally work will be ongoing to refine and progress this as development progresses through the plan period.</p> <p>Council, through Director of People, is in discussion with Health (Rutland Hub project) to assess future health needs. This is an ongoing project of the One Public Estate programme. The Director of People is also working with the Director of Places to commission work to determine school place needs.</p>		

Risk ID: 77	Risk Title: Changes to LLR Health system may reduce our ability to shape services to meet population needs	
Owner: Director - People	Actions <ul style="list-style-type: none">• [IMP] Development of a joint Social Care and Health team around the Primary Care Networks working in partnership with GP's.<ul style="list-style-type: none">○ Due for Completion – April 2020	Controls <ul style="list-style-type: none">• Excellent relations with CCG/Community Health and GP's.• Delivering strong integrated health and social care offers with partners via BCF.• Significant integration already achieved proven by data.• Rutland integrated service is a nationally recognised success.• Services continue to develop such as with the Primary Care Network consolidating the Rutland approach.
Inherent Score: 8		
Residual Score: 6		
Date Risk Added: October 2019		
Last Review Date: October 2019		
Comments: Local NHS services are under review with the risk Rutland will not feature in its overall plans being subsumed into the design of County and City.		

Risk ID: 78	Risk Title: Failure to achieve expectations of customers across key service areas.	
Owner: SMT	Actions <ul style="list-style-type: none"> • [IMP] Improvement plan in place for RCC website, including ensuring compliance with Accessibility standards. <ul style="list-style-type: none"> ○ Added October 2019 ○ Due for completion December 2019 ○ Revised deadline September 2020 to coincide with implementation date for Accessibility standard. ○ Initial work has been completed but more extensive work planned. • [IMP] Review approach to responding to Fix My Street referrals with view to improving timeliness and quality of response by keeping residents informed on the progress of their issues <ul style="list-style-type: none"> ○ Added October 2019 ○ Partially completed – interface problems between Highways systems and Fix My Street have been fixed. ○ Backlog of unanswered queries has been resolved pre-Christmas. ○ Due for completion December 2019 ○ Work is ongoing to ensure we are 	Controls <ul style="list-style-type: none"> • Customer KPIs in place across key service areas. • External feedback in areas like Better Care Fund/Social Care. • Customer Service Standards in place. • Complaints, compliments and comments recorded and analysed. • Access to Council services available through various channels. • Website team in place.
Inherent Score: 12		
Residual Score: 6		
Date Risk Added: October 2019		
Last Review Date: October 2019		

	<p>aware of all known problems. Revised completed end Feb 2020</p> <ul style="list-style-type: none"> • [IMP] Develop a new vision for Customer Services, including strategy and new standards <ul style="list-style-type: none"> ○ Added October 2019 ○ Due for completion June 2020 • [IMP] Launch MyAccount – online tool enabling residents to report issues/interact with the Council. <ul style="list-style-type: none"> ○ Added October 2019 ○ Due for completion June 2020 ○ We are looking at an earlier implementation, possibly end February. 	
<p>Comments: Aim is to launch MyAccount in February 2020 allowing public to see an early version and provide feedback. MyAccount demo to take place at Growth, Infrastructure and Resources Scrutiny Committee in November. Changes are being made based on feedback.</p>		

Risk ID: 10	Risk Title: Failure to protect the health and safety of employees and members of the public	
Owner: Director - Places	Actions <ul style="list-style-type: none"> • [IMP] Health and Safety policy updated. <ul style="list-style-type: none"> ○ Added February 2018 ○ Scheduled for Cabinet in January 2020, then needs approval at Full Council. ○ Sept 2019 – Additional support required for H&S, consideration to be given in new Places Strategy. ○ Oct 2019 – A need has been identified to recruit externally to fill this role, recruitment process means action is unlikely to be completed until the end of the year ○ New completion date February 2020 • [IMP] Health and Safety training programme being developed. <ul style="list-style-type: none"> ○ Added February 2018 ○ Sept 2019 – all documents/policies that sit below H&S policy currently being reviewed ○ Due for completion 31st December 2019 ○ Revised deadline 31st March 2020 	Controls <ul style="list-style-type: none"> • Joint safety committee in place that reviews internal risk reports such as RIDDOR. • Contract procedure rules require contract managers to take due regard of health and safety when procuring contracts. • Managers complete risk assessments for service activities and review annually. • Mandatory health and safety training for all staff • Rolling programme of audits ongoing. • PRIME (online accident reporting system) live and in use.
Inherent Score: 20		
Residual Score: 6		
Date Risk Added: September 2016		
Last Review Date: October 2019		

Comments: Policy will be signed off by SMT and reported to Joint Safety Committee January 2020. The Council brought in Interim Resource to take forward this project but this resource has now left and additional cover is being sought. Permanent role being recruited to during January/February 2020 subject to market.

Risk ID: 72	Risk Title: Disruption to Council Services related to Brexit impact or uncertainty	
Owner: Director - Places	Actions <ul style="list-style-type: none">None	Controls <ul style="list-style-type: none">Working with LLR to look at scenarios.RCC attendance at Government workshops.Impact assessment ongoing – some initial views on impact already formed within teams and assessed.Contributing to LLR Resilience Planning.Funding available from Government should we need to respondAttending all Brexit Lead Officer (and regional) and Resilience Partnership meetings in preparation.
Inherent Score: 15		
Residual Score: 6		
Date Risk Added: November 2018		
Last Review Date: September 2019		
Comments: Meetings and actions all completed. Meetings finished by mid-January as per national agreement.		

Risk ID: 73	Risk Title: There is a risk we cannot recruit to key vacant posts in the Places Directorate	
Owner:	Actions <ul style="list-style-type: none">• [PRE] Ongoing recruitment and testing market supplements for difficult to recruit areas.<ul style="list-style-type: none">○ Added Jan 2020○ Completion date n/a but update on recruitment activity given below (see comments).	Controls <ul style="list-style-type: none">• Specific recruitment plans in place.• Provision for supplements in place.• Use of external agencies.• Applicant Tracking System in use, allowing Human Resources to manage the recruitment process better.
Director - Places		
Inherent Score:		
15		
Residual Score:		
12		
Date Risk Added:		
September 2019		
Last Review Date:		
September 2019		
Comments: <p>Key posts recruited to: CIL/s.106 posts recruited September 2019, Deputy Director (interim), Head of Asset Management completed and starting March 2020 – interim in place for handover, Economic Development Manager , Economic Development Officer, Economic Development Programme Manager all recruited during November 2019 and in post. Senior Highways Manager out to advert during January 2020, Transport Strategy Manager (0.5FTE) awaiting confirmation in structure, Health and Safety Officer – not on establishment but vacant from September (0.5FTE), funding made available to recruit. Advert out during January/ February 2020. Building surveyor permanent posts being advertised during January 2020 to stabilise number of interims in this service area – subject to market response.</p>		

Risk ID: 74	Risk Title: There is a risk that the Council is not financially stable in the medium term (as evidenced by the gap in MTFP)	
Owner: Director - Resources	Actions <ul style="list-style-type: none">• [IMP] Emergency budget being prepared so that when there is certainty over future funding it can be used as a starting point for discussions<ul style="list-style-type: none">○ Added September 2019○ This is ongoing and largely complete in Resources and Peoples Directorates. Work delayed in Places due to work on Local Plan.○ Due for Completion March 2020	Controls <ul style="list-style-type: none">• Medium Term Financial Plan in place• Members adhering to minimum General Fund balances in budget setting• Members understand the need to raise Council Tax• All increases in budget scrutinised to ensure they are legitimate.• Lobbying for additional funding ongoing.
Inherent Score: 24		
Residual Score: 12		
Date Risk Added: September 2019		
Last Review Date: September 2019		
Comments: Settlement received in December 2019. Future year settlements not expected until late 2020. Ideally emergency budget work needs to be complete when they have future year settlements so in the Autumn.		

Risk ID: 75	Risk Title: Risk of serious financial/reputational damage from a data breach	
Owner: Director - Resources	Actions <ul style="list-style-type: none">None	Controls <ul style="list-style-type: none">Topic at staff briefings to raise awareness.E-learning and annual refresher training for staff on GDPR/Data Protection.Track ICO guidance.Data Protection policies and procedures in place.All breaches investigated. Lessons learned and applied.Audits conducted of breach investigations.KPI in this area being monitored to assess whether further actions required.Action plan based on ICO feedback fully implemented
Inherent Score: 16		
Residual Score: 6		
Date Risk Added: September 2019		
Last Review Date: September 2019		
Comments: Number of breach reported to ICO was 3 last year, it was 5 this year at Quarter 2, and still 5 in Quarter 3.		

Inherent Risk plotted on Risk Matrix

IMPACT	Most Severe 4			3	75	4, 10	74
	Major 3				7, 78	5, 72, 73, 76	
	Moderate 2				77		
	Minor 1						
		Extremely Unlikely 1	Unlikely 2	Low 3	More Likely than Not 4	Very Likely 5	Extremely Likely 6

Residual Risk plotted on Risk Matrix

IMPACT	Most Severe 4		4				
	Major 3		5, 75		73, 74, 76		
	Moderate 2		3, 7	10, 72, 77, 78			
	Minor 1						
		Extremely Unlikely 1	Unlikely 2	Low 3	More Likely than Not 4	Very Likely 5	Extremely Likely 6

