

Report of the Executive Manager - Operations and Transformation

1 Summary

- 1.1 This report provides an update on the progress made since the meeting on 11 May 2017 and also provides a summary of any activities associated with updating the Council's risk register and work relating to the Council's emergency planning and business continuity functions. An update on work to the audit recommendations made by the Council's internal auditor, RSM (formerly Baker Tilly) following the annual audit of risk management in August 2016 is also included.

2 Recommendation

It is RECOMMENDED that the Corporate Governance Group:

- a) note the contents of the report
- b) consider the actions taken to review the risk management arrangements and implement internal audit recommendations
- c) consider the work of the Emergency Planning Officer and endorse the work of the Local Resilience Forum.

3 Risk Management Review and Activity

- 3.1 Two sessions of training have been provided in the last 6 months. A training session was delivered for the Leadership Forum on 18 May 2017 looking at mitigating controls and their effectiveness, and refresher training was provided on 13 November 2017 to risk managers by the Council's insurance company, Zurich.
- 3.2 Executive Management Team met as the Council's Risk Management Group (RMG), on 11 May 2017 and 7 November in order to oversee the management of risk across the organisation and review, where necessary, strategic and operational risks. These meetings ensure consideration is given to reviewing the risk registers, amending or updating existing risks and ratings, verifying control measures and, where necessary identifying new risks. This process continues to remove unnecessary risks that are low scoring; those with the lowest likelihood or impact and / or risks that have effective mitigation ensuring the risk factors are under control. Additionally new risks are identified and are added to the registers taking into account the changing nature of the Council's business and its priorities.
- 3.3 There are currently 34 corporate risks, 3 more than the last report. The number of operational risks has decreased by 3 from 32 to 29, and therefore the total number of risks is 61. The number of risks within the registers will fluctuate throughout the year as active risk management is undertaken. Changing pressures facing local government and the proactive work of managers to identify risks as they emerge will continue to influence new risks added to the register and demonstrates the

Council's aim to be proactive to mitigate risk as soon as possible after identification. The risk registers are attached at **Appendix A**.

3.4 Examples of risks that have been changed following the review process are:

Risks removed:

- OR_NS21 Lack of or inappropriate monitoring of the Streetwise prime contract resulting in reduced standards and increased levels of resident dissatisfaction
- OR_NS26 Lack of or inappropriate monitoring of Nottingham City Council vehicle maintenance contract resulting in reduced standards and increased costs
- OR_TR22 Potential delay over completion and handover of Bridgford Hall.

Risks added or proposed by Service Managers or Risk Management Group:

- CRR_TR23 Grenfell Tower post incident risk to commercial buildings in Rushcliffe. The risk assessment is 1 impact and 1 likelihood
- OR_CO06 Loss of income as a result of the refund of planning application fees (under the provisions of the Government's Planning Performance and Planning Guarantee). The risk assessment is 2 impact and 2 likelihood
- OR_NS29 Lack of or inappropriate monitoring of the Council's contracts in place (resulting in reduced standards or increased levels of resident dissatisfaction). The risk assessment is 3 impact and 1 likelihood. This risk replaces OR_NS21 and OR_NS26.

Risks amended:

Nine risks have been amended since the last meeting, these are:

- CRR_CO02 Failure of public sector partnerships / withdrawal of financial support – the likelihood has been increased
- CRR_FCS12 Risk and return from Asset Investment Strategy – the likelihood for this risk has reduced from 3 to 2 following advice from RMG
- CRR_FCS20 Failure to properly manage and deliver significant projects – the title of this risk has changed – 'Leisure and Office move' has been removed, and the impact has reduced from 3 to 2 on the advice of the RMG
- CRR_TR20 Failure to successfully complete the Rushcliffe Arena snagging list – impact of this risk has been reduced from 3 to 2 following guidance from RMG
- CRR_TR21 Failure to comply with the Data Protection Act – this risk has moved from operational to the Corporate risk register, and the likelihood has been decreased from 3 to 2 now an action plan is in place. It has also moved to the management of the Chief Information Officer
- CRR_TR22 Loss or compromise of confidential or restricted information or data – this risk has moved to the management of the Chief Information Officer
- OR_FCS10 Reputational risk to the Council following adverse media coverage – the impact has been reduced from 3 to 2 following training by The Media Group
- OR_NS28 Delivery of social rented affordable housing – the likelihood has been increased from 2 to 3 following guidance from RMG
- OR_TR23 Challenge to ensure sufficient car parking spaces at Rushcliffe Arena – the impact and likelihood have both been reduced from 3 to 2 after

a parking barrier was installed and a planned conversion of grasscrete areas to tarmac.

4 Emergency Planning Update

4.1 Plans

- A move to critical plan/checklist has been produced as part of a review of the corporate emergency plan.
- The Elected members plan was reviewed and re issued.
- Rushcliffe took part in the national capability survey that takes place every 2 years.
- The Rushcliffe Borough Council emergency planning officer is leading on the Local Resilience Forum spontaneous volunteer planning in her Nottinghamshire County Council role.

4.2 Community resilience

Gotham applied for and received funding from Rushcliffe's Flood resilience store grant for the purchase of community level flood protection items.

Assistance has been given to Gotham's new flood group.

Assistance has been given to Radcliffe on Trent Parish Council around emergency planning.

4.3 Training

Leisure centre staff from Bingham, Cotgrave, Keyworth and Rushcliffe Arena received training and refresher training on their facilities manager roles within the emergency accommodation plan.

Senior managers attended training on Strategic Coordinating groups and Tactical Coordinating groups for incident response.

Staff attended a "move to critical" workshop run by counter terrorism security advisors.

4.4 Exercising

Exercise Diamond 4

A multi-agency planning group is currently meeting to plan a 2 day flood exercise in February 2018. The exercise will be strategic and tactical level with the scenario involving the escalation to a regional response coordinating group. To allow for the testing of the Trent catchment plan. All members of EMT and the emergency planning officer will be taking part.

Exercise Silver Siren

A multi-agency planning group is currently meeting to plan a week long live air crash investigation exercise in May 2018. Led by the RAF, the exercise will involve RAF Syerston as a location and the testing of Military and Local Resilience Forum partners working together. The second part of the exercise planned for November 2018 will involve the activation of Military support to the civil community, and strategic and mass fatalities coordinating groups.

4.5 Grenfell tower post incident work

The Council has been responding to the Department for Communities and Local Government information requests and also taking a proactive approach with Rushcliffe communities.

Actions taken

Social housing

The Council has liaised with both Metropolitan and Waterloo housing regarding their housing stock and no issues have been reported.

Private landlords with houses of multi occupancy

Standard housing inspections already include the provision of a fire and rescue guidance leaflet. Fire risk assessment information has been provided for Greater Nottingham electronic landlord forum. A South Notts Private Landlord Forum and Empty Property Fayre were jointly hosted by Rushcliffe Borough Council and Gedling Borough Council on 5 October 2017.

Rushcliffe Borough Council property

A review of Rushcliffe property assets with a focus on the new Rushcliffe Arena building has taken place and no issues have been identified.

Liaison with Notts Fire and Rescue

We are working with Notts Fire and Rescue regarding countywide standardised advice for fire risk information. Additionally, an Executive Manager attended a Grenfell Tower Strategic briefing chaired by Notts Fire and Rescue.

University accommodation

Liaison is taking with place with Nottingham City Council emergency planning team regarding work with the University of Nottingham and their plans to be self-contained in accommodating and rehousing students in an evacuation.

Emergency plans

The current corporate emergency plan is in date and mid-way through its 3 year review cycle. The opportunity was taken for a mid-cycle review and the plan was reviewed in June 2017.

- Local Resilience Forum work is already in progress around the management of spontaneous volunteers and has benefitted from substantial lessons identified which are being fed into the planning work. The RBC emergency planning officer leads this work in her NCC role.
- Multi agency plans already in their planning review cycle and completed September 2017 include: site clearance, mass fatalities, critical infrastructure, and humanitarian assistance.

Emergency accommodation plans

Contract hub staff were able to re-confirm contract and availability of Parkwood leisure centres for emergency accommodation. Also, in conjunction with Nottinghamshire County Council emergency planning team, refresher training has taken place for Parkwood Leisure staff on their role in the emergency accommodation plan.

5 Implications

5.1 Finance

The Risk Management Group ensures that the financial risks of the Council are managed. The SLA with Nottinghamshire County Council to provide an Emergency Planning Service is £25,900.

5.2 Legal

The risk management group ensure that the section 17 implications are contained within the risk register.

5.3 Corporate Priorities





























All risks within the Corporate Risk Register are linked to the Councils' Corporate Priorities.






5.4 Other implications

There are no other implications.


For more information contact:	Katherine Marriott Executive Manager – Operations and Transformation 0115 914 8291 kmariott@rushcliffe.gov.uk
Background papers Available for Inspection:	None.
List of appendices (if any):	Appendix A – Risk registers

Corporate Risks

Risk Code & Title	Status	Current Rating
CRR_CO02 Failure of public sector partnerships/ withdrawal of financial support		6
CRR_CO03 Failure to safeguard children and vulnerable adults		3
CRR_CO04 Inability to demonstrate a five year supply of deliverable housing sites against the housing target leading to further development on unallocated sites		12
CRR_FCS01 Failure to properly deal with community governance review legislation, Community Right to Challenge, and nominations for assets of community value		4
CRR_FCS02 Reduction in Government funding linked to New Homes Bonus		6
CRR_FCS03 Failure to prevent or detect fraud and corruption		6
CRR_FCS05 Revaluation of major business rate payer		12
CRR_FCS06 Lack of funding from partners		4
CRR_FCS07 Central Government policy changes		9
CRR_FCS08 Inadequate capital resources		3
CRR_FCS09 Fee income volatility		4
CRR_FCS10 Inflationary pressures, particularly utility costs		6
CRR_FCS11 Increased demand for services		6
CRR_FCS12 Risk and return from Asset Investment Strategy		6
CRR_FCS13 Failure to deliver the Transformation Strategy		6
CRR_FCS20 Failure to properly manage and deliver significant projects		4
CRR_FCS21 Potential inflationary pressures, with volatility over prediction for budget		4
CRR_NS08 Failure of internal health and safety compliance or enforcement of health and safety		2
CRR_TR04 Failure to properly manage our property assets		3
CRR_TR07 Equal pay claim		6
CRR_TR08 Failure of business continuity		6
CRR_TR09 ICT supplier goes out of business		3
CRR_TR10 Ineffective emergency planning arrangements		4
CRR_TR11 Insufficient staff capacity - skills, knowledge etc		6
CRR_TR12 Long term loss/failure of main ICT systems		4
CRR_TR13 Loss or compromise of sensitive data		6
CRR_TR14 Short term loss/failure of main ICT systems		4
CRR_TR15 Significant reduction in staff morale		3

CRR_TR16 Threat of major successful cyber-attack		8
CRR_TR17 Inability to draw down Growth Deal 2 funding within specified timescales		8
CRR_TR20 Failure to successfully complete the Rushcliffe Arena snagging list		6
CRR_TR21 Failure to comply with the Data Protection Act		4
CRR_TR22 Loss or compromise of confidential or restricted information or data		3
















Added to the register













Risk Code & Title	Status	Current Rating
CRR_TR23 Grenfell Tower post incident risk to commercial buildings in Rushcliffe. The risk assessment is 1 impact and 1 likelihood		2

New risks in development



Risk Code & Title	Status	Current Rating
None		

Operational Risks

Risk Code & Title	Status	Current Rating
OR_CO04 Cost of defending appeals for large scale residential developments and potential award of costs		4
OR_CO05 Failure to determine major planning applications within 13 weeks or agreed period		3
OR_FCS01 Failure to meet major statutory duties or take on board new legislation		4
OR_FCS03 Inadvertent illegal activity, taking illegal decisions		2
OR_FCS04 Failure to implement Paperlite working practice for Members		2
OR_FCS06 Failure to manage and monitor budget		4
OR_FCS07 Lack of implementation of financial controls		4
OR_FCS08 Exposure to breach of VAT rules		6
OR_FCS09 Loss of capital/lower interest earned on investments, due to current economic climate		8
OR_FCS10 Reputational risk to the Council following adverse media coverage		6
OR_NS02 Disruption and lack of fuel preventing collection of domestic waste		2
OR_NS06 Lack of knowledge of contaminated land		2
OR_NS20 Significant malfunction of core services/security risk at Council's temporary accommodation premises		4
OR_NS25 Failure to deliver mandatory DFG grant due to insufficient funding		2
OR_NS28 Delivery of social rented affordable housing		6

OR_TR04 Failure to manage legionella issues		4
OR_TR05 Failure to manage asbestos in buildings under our control		4
OR_TR13 Failure to maintain council owned trees		4
OR_TR14 Partners closure of buildings where RBC has contact points, including RCCC		6
OR_TR16 Failure to secure vacant possession of Cotgrave precinct and associated risks to town centre regeneration		2
OR_TR17 Threat of violence to staff		6
OR_TR18 Failure to comply with Equality legislation		2
OR_TR19 Risk to staff health due to their work		2
OR_TR20 Threat of Industrial Action		2
OR_TR21 Unauthorised access to IT systems		8
OR_TR23 Challenge to ensure sufficient car parking spaces at Rushcliffe Arena		4
OR_TR24 Failure to successfully review the day to day operation of the Rushcliffe Arena		4

Added to the register

Risk Code & Title	Status	Current Rating
OR_CO06 Loss of income as a result of the refund of planning application fees (under the provisions of the Government's Planning Performance and Planning Guarantee). The risk assessment is 2 impact and 2 likelihood.		4
OR_NS29 Lack of or inappropriate monitoring of the Council's contracts in place (resulting in reduced standards or increased levels of resident dissatisfaction).The risk assessment is 3 impact and 1 likelihood.		3

New risks in development

Risk Code & Title	Status	Current Rating
None		