

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 8 December 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.

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 Executive Management Team met as the Council's Risk Management Group (RMG), on 24 April 2018 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.
- 3.2 There are currently 34 corporate risks, unchanged since the last report. The number of operational risks has remained at 29 although there has been one deleted and one new risk, and therefore the total number of risks is 63. 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**.
- 3.2 Examples of risks that have been changed following the review process are:

Risks removed:

- OR_FCS04 Failure to implement Paperlite working practice for Members. This risk has been removed following successful implementation.

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

- OR_NS30 Reduced levels of performance and leisure provision at East Leake Leisure Centre. The risk assessment is 2 impact and 2 likelihood. This risk is has been added as a result of Carillion going into liquidation.

Risks amended:

Five risks have been amended, these are:

- CRR_CO02 Failure of public sector partnerships/ withdrawal of financial support– the likelihood has been decreased from 3 to 2 following Rushcliffe NHS securing funding for the jointly funded Health Development Officer post
- CRR_FCS07 Central Government policy changes – the likelihood for this risk has reduced from 3 to 2 following advice from RMG
- CRR_TR17 Inability to draw down Growth Deal 2 funding within specified timescales – the likelihood has increased from 2 to 3, due to applications pending with the Local Enterprise Partnership (D2N2) to use the funding against new schemes
- CRR_TR20 Failure to successfully complete the Rushcliffe Arena snagging list – the likelihood has reduced from 3 to 2 as a result of regular meetings and progress to date
- CRR_TR21 Failure to comply with the Data Protection Act – the impact has increased from 2 to 3 due to the penalties associated with not meeting compliance with the new General Data Protection Regulation (GDPR).

4 Emergency Planning Update – Incident response

- 4.1 To develop the resilience of Rushcliffe's response to incidents, three staff with GIS skills have been trained in addition to the emergency planning officer as map users on the Resilience Direct incident response mapping software. These staff can now support the Executive Management team or also support a multi-agency tactical coordinating group or recovery coordinating group. The mapping system allows for one picture of understanding of the incident to be shared by all partners. The level of detail allows for postcode level information of affected areas to be produced, which aids among other things the identification of vulnerable people through existing systems and allows targeted support.
- 4.2 The Kerslake Report into the response to the Manchester Arena attacks has very recently been released; this will be reviewed for any local authority lessons that can be incorporated into Rushcliffe's plans.

5 Emergency Planning Update – Training

- 5.1 Water awareness training was delivered to three new depot duty officers who work on the out of hours on-call system, who will be responsible for responding to flooding incidents and deploying staff and maintaining their safety. A further programme of training will be delivered later this autumn as operational staff are due their water awareness refresher training.

- 5.2 Work has been conducted with police and counter terrorism colleagues to develop a workshop for event teams and event organisers around counter terrorism at events. These are aimed at educating organisers and staff of crowded places events of the current threats and precautions and vigilance they can employ to disrupt any hostile planning. It allows them to understand the police response and to apply their new knowledge to any incident given events could have event participants injured through driver heart attacks, not just vehicle born attack.
- 5.3 The emergency planning officer attended a presentation provided by staff from MI5 on hostile vehicle mitigation measures. This was part of a programme of events to raise knowledge around the resources available to create deterrents and barriers to vehicle born attacks. Currently multi agency work is being led by Nottinghamshire County Council emergency planning team focused on replacing temporary barriers around the two major sporting facilities within Rushcliffe with permanent structures. Rushcliffe planning team are being involved in this work.

6 Emergency Planning Update – Exercising

- 6.1 A member of EMT and the emergency planning officer attended a multi-agency move to critical exercise, aimed at testing organisational move to critical plans produced following the September workshop.
- 6.2 Staff attended a communications exercise run by Nottinghamshire Police. This looked at incident response, mutual aid and the hand over from police to local authorities as the communications lead in recovery.
- 6.3 Members of EMT took part in the Local Resilience Forums (LRF) major exercise for 2017/2018 “Diamond IV”. This was a four day table top exercise based on a large scale flooding incident within Nottinghamshire. The exercise also fed into a regional exercise based on wider river Trent flooding affecting the region and requiring military assistance. Over the three days there were a number of tactical and strategic coordinating groups at the multi-agency coordinating centre. The scenario involved major flooding based above the year 2000 flood levels with the real possibility that large parts of Rushcliffe would be flooded.
- 6.4 The LRF major exercise for 2018/2019 is Exercise Silver Siren. This is a joint military and multi-agency exercise based on air crash post management procedures and will involve the simulation of a military plane crash on the A46. For the purpose of the exercise a runway at RAF Syerston is being recreated into the A46 complete with plane fuselage and crashed cars.

7 Implications

7.1 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.

7.2 Legal

The Risk Management Group ensure that the Section 17 implications are contained within the risk register.

7.3 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 kmarriott@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		4
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		6
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		8*
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		12
CRR_TR20 Failure to successfully complete the Rushcliffe Arena snagging list		4
CRR_TR21 Failure to comply with the Data Protection Act		6
CRR_TR22 Loss or compromise of confidential or restricted information or data		3
CRR_TR23 Grenfell Tower post incident risk to commercial buildings in Rushcliffe.		1

*The risk score was shown in error as 6 in the last report.















Added to the register















Risk Code & Title	Status	Current Rating

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_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).		4
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_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_NS29 Lack of or inappropriate monitoring of the Council's contracts in place (resulting in reduced standards or increased levels of resident dissatisfaction).		3
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_NS30 Reduced levels of performance and leisure provision at East Leake Leisure Centre. New risk as a result of Carillion going into liquidation. Likelihood and impact score 2.		4

New risks in development

Risk Code & Title	Status	Current Rating
None		