

ROTHERHAM BOROUGH COUNCIL – REPORT TO CABINET

1.	Meeting:	Cabinet
2.	Date:	3 November 2010
3.	Title:	Corporate Risk Register
4.	Directorate:	Financial Services

5. Summary

Attached to this report is the current corporate risk register summary. The summary shows the risks associated with the Council's most significant priorities and projects, and actions being taken to mitigate these risks. This report was presented to the Strategic Leadership Team on 11 October 2010.

A small number of risks (e.g. relating to the Local Area Agreement) are currently being reviewed as a consequence of recent major budget and legislative announcements made by the Government, and any changes to these will be reflected in the next quarter's report.

There are 5 red residual risks, relating to Children's Services (4 risks) and achievement of the Cultural Quarter aspirations.

6. Recommendations

Cabinet is asked:

- to note the updated corporate risk register summary attached at Appendix A
- to indicate any further risks the Cabinet feels should be added to the risk register.

7. Proposals and Details

7.1 Format

This report contains the latest position on the Corporate Risk Register. The report has two key parts:

- An '*at a glance*' picture showing the pattern of risk assessments for corporate priorities or projects both before and after risk management actions – see 7.3 below.
- A more detailed summary of the risk register that reflects the current risk assessments for each corporate priority or project. This is attached at **Appendix A**.

There are 3 overall categories of risk (RED, AMBER, GREEN) representing varying degrees of exposure. Each category contains a range of risk scores, so there are varying degrees of risk within each category. Appendix A shows specific current risk scores before and after mitigating actions, as well as the general risk category for each priority or project included in the register.

Appendix A also shows the risk categories for each priority for the previous 3 reports, which provides an indication of the degree of change in risk assessments over time.

7.2 Changes since previous report.

The main changes occurring since the previous report are as follows:

- The risk relating to public satisfaction/Image (formerly Ref 19) has been removed from the corporate risk register following the abolition of the Place Survey by Government, although ongoing work is being carried out to improve residents' perceptions.
- The risk relating to safeguarding adults/physical disability (formerly Ref 38) has been removed from the corporate risk register following the successful inspection and the completion of the subsequent outstanding actions.
- The risk relating to public views relating to narrowing the gap in neighbourhoods (formerly Ref 47) has been removed from the corporate risk register following the abolition of the Place Survey.
- The residual risk score relating to the new Civic Building Accommodation (Ref 3) has been downgraded from Amber to Green as the fit out contract is now let and building is progressing on time with no issues to report.
- The residual risk score relating to the Community Stadium (Ref 61) has been upgraded from Green to Amber as, despite the successful purchase of the site, it is felt that Green is overly optimistic given that the planning application has not yet been considered by the Planning Board.

There are five red residual risks, relating to Children's Services (risk numbers 10 – BSF, 22 – Children's Plan, 44 – Commissioning and 59 – resources / use of resources) and achievement of the Cultural Quarter aspirations (risk number 63).

7.3 Corporate Risks at a Glance

7.3.1 Risk assessments prior to mitigating actions.

The first diagram shows the pattern of risk assessments for corporate priorities or projects before risk management actions.

Probability: Will it Happen?	Very high				59 CYPS Resources (80) 22 Children's Plan (72) 58 DCSF imp't plan (72)
	High		37 YES Project (48) 51 Carbon Red'n (48) 52 LAA (44)	43 LG Reform (60) 45 2010 Fin. Perf. (56) 11 Capital Program (52) 29 Adults Demand (52) 46 In House Prov. (52)	10 BSF (64) 44 Commissioning (64) 63 Cultural Quarter (64) 60 Machinery of Govt (64) 64 Managing budget adjustments (64)
	Medium		55 RBT contract (36) 3 Civic Accom (34) 53 EDRMS (33) 15 Single Status (33)	6 Waste Management Strategy (48) 26 Decent Homes (42) 61 Community Stadium (39) 62 Civic Centre (38)	
	Low				
	Very low				
<p>Impact: Will it Hurt?</p> <p>Minimal Minor Moderate Serious Severe</p>					

Note on the diagram entries:
EG "19 Public Image (48)". The first number, in this case 19, is the reference number of the risk. Risks are listed in reference number order in the risk register summary at Appendix A. The second number in brackets, in this instance (48), shows the risk score. The higher the score, the greater the risk.

7.3.2 Risk Assessments after allowing for mitigating controls

The second diagram shows the pattern of risk assessments for corporate priorities or projects after risk management actions.

Probability: Will it Happen?	Very High					
	High		46 In House Prov. (40)		22 Children's Plan (64) 44 Commissioning (60) 59 CYPS Resources (64) 63 Cultural Quarter (60) 10 BSF (60)	
	Medium		37 YES Project (36) 29 Adults Demand (33) 26 Decent Homes (33) 60 Machinery of Govt (33) 64 Managing budget adjustments (33) 51 Carbon Red'n (30) 61 Community Stad (30) 52 LAA (28) 15 Single Status (27)	45 2010 Fin. Perf. (42) 58 DCSF imp't plan (42) 11 Capital Prog'me (39)		
	Low	3 Civic Accom (24) 55 RBT contract (24)		43 LG Reform (26)	6 Waste Man't Strategy (30)	
	Very low	53 EDRMS (16) 62 Civic Centre (16)				
	Minimal	Minor	Moderate	Serious	Severe	
	Impact: Will it Hurt?					

It can be seen from the second chart, that risk is being reduced by management actions. The following tables provide a summary of the risk reduction achieved.

Table 1 shows the risk category that initial red and amber risks are converted to, following mitigating actions:

Risk category	Number of Projects / Priorities in the category BEFORE mitigating actions		Risk category	Number of Projects / Priorities in the category AFTER mitigating actions
Red	13		Red	5
Amber	11		Amber	8
			Green	NIL
			Amber	7
			Green	4

Table 2 shows the average risk score for priorities rated as red and amber prior to mitigating actions, and the average reduction in risk scores resulting from the mitigating actions:

Risk category	Average risk score BEFORE mitigating actions	Average risk score AFTER mitigating actions	Reduction in average risk score as a result of mitigating actions
Red	63	46	17
Amber	40	27	13

8. Finance

The risks contained in the register require ongoing management action. In some cases additional resources may be necessary to implement the relevant actions or mitigate risks. Any additional costs associated with the risks should be reported to the Strategic Leadership Team and Members for consideration on a case by case basis.

9. Risks and Uncertainties

It is important to review the effectiveness of our approach to capturing, managing and reporting corporate risks on an ongoing basis, to ensure risks relating to the Council's key projects and priorities are effectively monitored and managed by the Strategic Leadership Team and Members.

10. Policy and Performance Agenda Implications

Risk Management is part of good corporate governance and is wholly related to the achievement of the objectives in the Council's Corporate Plan.

11. Background Papers and Consultation

The content of this report has been informed by consultation with Directorates.

Contact Names:

Colin Earl, Director of Audit and Governance, x22033

Rob Houghton, Governance and Risk Manager, x54424

Appendices

A Corporate Risk Register Summary

APPENDIX A: CORPORATE RISK REGISTER SUMMARY

Explanatory Note:

For the purposes of illustration, Risk Reference 37: 'YES Project' from the corporate risk register is extracted below:

Ref	Risk Area	Current Risk	Current Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control														
Major Projects																				
37	EDS – YES Project <table border="1" style="width: 100%; text-align: center;"> <tr> <td>L</td> <td>Ac</td> <td>AI</td> <td>S</td> <td>P</td> <td>SD</td> <td>F</td> </tr> <tr> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> </tr> </table>	L	Ac	AI	S	P	SD	F	√	√	√	√	√	√	√	Risk of project not being implemented in full by preferred developer due to lack of attractiveness of the scheme to investors, with consequential loss of income.	A M B E R <div style="border: 1px solid black; padding: 5px; width: 40px; margin: 0 auto;">48</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100%;"> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> </div>	Karl Battersby	Signed Development Agreement with Oak Holdings in Nov 08. Planning application for renewal of the permission submitted Jan 2010. Action plan obstacles are up to date May 2010 Planning application to Planning Board, which is disposed to grant approval. The application is now with Government for a decision. Renewal of the planning permission has been supported by planning board, and not called in by the Secretary of state. Award of planning permission is now imminent. Transfer of Rother Valley management to Oak Holdings for 7 years from May 2009 to improve chances of a positive outcome.	A M B E R <div style="border: 1px solid black; padding: 5px; width: 40px; margin: 0 auto;">36</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100%;"> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> </div>
L	Ac	AI	S	P	SD	F														
√	√	√	√	√	√	√														

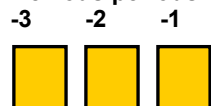
There are 3 overall categories of risk (RED, AMBER, GREEN), representing varying degrees of exposure. Each category contains a range of risk scores, so there are varying degrees of risk within each category. Scores have now been added to the register entries to show the specific risk assessments pre (48 in this example) and post (36) mitigating actions, in order to demonstrate the

effectiveness of mitigating actions, particularly where the overall risk category for any priority or project has not changed, as is the case in the example above. The following table gives more information:

Risk Category	Range of risk scores	Level of Risk
Red	More than 50	High level of risk, requiring close and regular review and further preventive or remedial action as necessary
Amber	26 to 50	Medium level of risk, requiring regular monitoring and, in the event of any identified increase in risk, escalation for consideration of further actions.
Green	Up to and including 25	Low level of risk, initially requiring regular monitoring and reporting.

The register shows the respective risk categories for the last 3 risk registers, as follows:

Previous periods:



In this case, the risk category has been amber both before and after mitigating actions in each of the last 3 periods. Where any period has no colour (i.e. is white), this indicates that the priority or project was not included in the risk register in that period. The register also shows the corporate priorities that each project or priority included in register contributes to. This is indicated in the 'Risk Area' column for each priority / project included in the register.

The corporate plan priorities are as follows:

	=	Rotherham Learning		=	Rotherham Proud
	=	Rotherham Achieving		=	Sustainable Development
	=	Rotherham Alive		=	Fairness
	=	Rotherham Safe			

CORPORATE RISK REGISTER

Ref	Risk Area	Current Risk	Current Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control														
Major Projects																				
3	Civic Building accommodation	<p>New accommodation not fit for purpose</p> <p>Failure to maximise use of resources</p> <p>Failure to modernise services and respond to changing needs</p> <p>Failure to apply appropriate governance arrangements: procurement; risk transfer; affordability; deliverability; structures and controls.</p>	<p style="text-align: center;">A M B E R</p> <p style="text-align: center;">34</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </p>	Karl Battersby	<p>The business case was agreed by Cabinet in September 2008.</p> <p>Planning permission granted in June 2009. Judicial Review ended 22 Dec 09. Land works commenced on site Jan 2010.</p> <p>The contract went unconditional in December. All pre-commencement conditions have been discharged.</p> <p>Building progressing on time, no issues to report, and the fit out contract is now let.</p> <p>Still expect to start to move into the new building in late 2011.</p>	<p style="text-align: center;">G R E E N</p> <p style="text-align: center;">24</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </p>														
	<table border="1" style="width: 100%; text-align: center;"> <tr> <td>L</td><td>Ac</td><td>Al</td><td>S</td><td>P</td><td>SD</td><td>F</td> </tr> <tr> <td>√</td><td>√</td><td>√</td><td>√</td><td>√</td><td>√</td><td>√</td> </tr> </table>	L	Ac	Al	S	P	SD	F	√	√	√	√	√	√	√					
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Ref	Risk Area	Current Risk	Current Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control													
Major Projects																			
6	<p>Delivery of the Waste Management strategy. Failure could involve significant penalties.</p> <p>Needs: 1 Disposal facilities to be agreed with other authorities 2 Medium term contract 2008-2014 3 Long term contract 2014 onwards</p> <p>“energy from waste” is a possible favoured scheme, but consultees prefer a higher cost option.</p>	<p>Potential significant financial penalties</p> <p>Adverse inspection assessment</p> <p>Failure to apply appropriate governance arrangements: - procurement - risk transfer - affordability - deliverability - structures and controls</p>	<p>A M B E R</p> <p>48</p> <p>Previous periods: -3 -2 -1</p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	Karl Battersby	<p>BDR Waste Partnership has secured £74.4m in PFI credits.</p> <p>PFI 4 bids have been evaluated and a recommendation made to the Project Board to reduce to 2 final bids. An affordability report is being completed.</p> <p>DMBC had called a break point review to determine whether they should withdraw from the project, but have since decided to continue with the PFI.</p> <p>There is a detailed project plan in place with clear milestones; it allows for completion of the procurement by 31st March 2011, a date which is tight but achievable. Failure to hit that deadline puts the award of PFI credits at risk, as it is if the CSR removes support for any capital schemes that have not reached financial/contractual close.</p>	<p>A M B E R</p> <p>30</p> <p>Previous periods: -3 -2 -1</p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>													
	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="background-color: #ffffcc;">L</td> <td style="background-color: #ccccff;">Ac</td> <td style="background-color: #add8e6;">Al</td> <td style="background-color: #c8e6c9;">S</td> <td style="background-color: #ffcdd2;">P</td> <td style="background-color: #ffe0b2;">SD</td> <td style="background-color: #e0e0e0;">F</td> </tr> <tr> <td></td> <td></td> <td></td> <td>√</td> <td>√</td> <td>√</td> <td></td> </tr> </table>	L	Ac	Al	S	P	SD	F				√	√	√					
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Major Projects																				
10	Building Schools for the Future (BSF) and 'Primary Capital Programme * ¹ ' projects <table border="1"> <tr> <td>L</td><td>Ac</td><td>Al</td><td>S</td><td>P</td><td>SD</td><td>F</td> </tr> <tr> <td>√</td><td>√</td><td>√</td><td>√</td><td>√</td><td>√</td><td></td> </tr> </table>	L	Ac	Al	S	P	SD	F	√	√	√	√	√	√		The Secretary of State has closed the BSF programme to those authorities "not at financial closure with their partners". This does not necessarily mean the end of capital spend on schools but further details will be given following the review in the autumn.	R E D <div style="border: 1px solid black; padding: 5px; width: 40px; margin: 0 auto;">64</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: red; border: 1px solid black;"></div> </div>	Joyce Thacker	The Council will prepare for the outcome of the autumn review by prioritising schools for any future funding. This will be based on the current condition and suitability of each school. The Council is awaiting clarity from the Department For Education regarding Maltby Academy.	R E D <div style="border: 1px solid black; padding: 5px; width: 40px; margin: 0 auto;">60</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; background-color: lightgreen; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: lightgreen; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: red; border: 1px solid black;"></div> </div>
L	Ac	Al	S	P	SD	F														
√	√	√	√	√	√															
Major Projects																				
11	Costs of the capital programme. Significant revenue consequences (£11m per year). <table border="1"> <tr> <td>L</td><td>Ac</td><td>Al</td><td>S</td><td>P</td><td>SD</td><td>F</td> </tr> <tr> <td>√</td><td>√</td><td>√</td><td>√</td><td>√</td><td>√</td><td>√</td> </tr> </table>	L	Ac	Al	S	P	SD	F	√	√	√	√	√	√	√	Significant financial impact and/or failure to deliver the capital programme.	R E D <div style="border: 1px solid black; padding: 5px; width: 40px; margin: 0 auto;">52</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; background-color: red; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: red; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: red; border: 1px solid black;"></div> </div>	Andrew Bedford	Detailed financial calculations are included in the MTFs. These are being reviewed as part of the Council's on-going budget monitoring and financial planning processes	A M B E R <div style="border: 1px solid black; padding: 5px; width: 40px; margin: 0 auto;">39</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> </div>
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¹ 5% new build, 45% refurbishment, 50% premium maintained

Ref	Risk Area	Current Risk	Current Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control													
Cross Cutting																			
15	Impact of single status job evaluation.	<p>Lengthy timescales, causing uncertainty and possible unrest unless resolved quickly.</p> <ul style="list-style-type: none"> - potential dispute - costs - possible negative impact on staff retention, depending upon the evaluation outcomes 	A M B E R <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">33</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; background-color: red; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> </div>	Phil Howe	<p>Phase 2 implemented successfully on 1/04/08. Through the effective implementation process RMBC has successfully avoided the major industrial unrest experienced by some Local Councils.</p> <p>Barrister commissioned to help defend Equal Pay challenges. Reasonable settlement agreed with both the No Win No Fee and Trade Union solicitors. Further attempts reduce the tax demand on these payments were successful.</p> <p>There are a very small number of unresolved residual claims from the no win no fee solicitor.</p> <p>The memorandum of understanding with the trade unions has now been signed and individual offers of settlement are being passed to the trade unions' solicitors. This exercise is now reaching its conclusion though a small number of new claims from Trade Union and non Trade Union Members have been received.</p> <p>There will always remain some as yet 'unknown' element of risk of challenge under Equal Pay & Single Status, which could in future require resources to defend.</p>	A M B E R <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">27</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> </div>													
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CYPS																				
22	<p>Delivery of the Children's single plan priorities, such as:</p> <ul style="list-style-type: none"> - performance in schools (particularly Primary) - health inequalities - quality social care - post-16 education and employment 	<p>Failure to make a difference; to deliver community and corporate priorities relating to Rotherham Learning</p> <p>Adverse inspection comment / rating and impact on CPA assessment</p> <p>An unannounced Inspection of Contact, Assessment and Referral in August led to finding that social worker's caseloads were too heavy. Caseloads still not addressed due to the continuous high level of vacancies at both Social Worker and Team Manager levels.</p> <p>Pressures in relation to budget and service demands continue to increase the risk of failure to deliver services within budget allocation.</p>	<p>R E D</p> <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 2px;">72</div> <p>Previous periods: -3 -2 -1</p> <div style="display: flex; justify-content: space-around;"> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: red; border: 1px solid black;"></div> </div>	Joyce Thacker	<p>Overall Annual Performance Assessment judgement is 2. Previous key areas for development (Improving attainment at Key Stage1 and Increasing the proportion of 16-19 year olds who are in education, employment or training) are being addressed.</p> <p>Children First review completed and an Action Plan produced. An Improvement Board has been formed from across the Council to oversee progress. Dep't For Education (DFE) issued notice to improve and the improvement plan is monitored fortnightly internally and monthly by DFE.</p> <p>Risk is increasing as grant funding starts to be withdrawn ahead of scheduled dates. 'Together for Children' grant withdrawn for pilot programme and £2.1m Area Based Grant has been withdrawn.</p> <p>Further mitigating actions are being identified, however posts are at risk and the achievement of priorities will be continue to be challenging. (See also risk 59).</p> <p>Awaiting outcome of CSR.</p>	<p>R E D</p> <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 2px;">64</div> <p>Previous periods: -3 -2 -1</p> <div style="display: flex; justify-content: space-around;"> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: red; border: 1px solid black;"></div> </div>														
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Ref	Risk Area	Current Risk	Current Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control														
Neighbourhoods and Adult Services																				
26	ALMO delivery of decent homes programme. <table border="1"> <tr> <td>L</td> <td>Ac</td> <td>AI</td> <td>S</td> <td>P</td> <td>SD</td> <td>F</td> </tr> <tr> <td></td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> </tr> </table>	L	Ac	AI	S	P	SD	F		√	√	√	√	√	√	Late or non achievement of targets Potential loss / re-profiling of funding Adverse public / tenants satisfaction Adverse inspection outcomes.	A M B E R <div style="border: 1px solid black; width: 40px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">42</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>	David Richmond	There has been further significant reductions in non decent council homes and at the end of August 2010, 577 homes (2.76% of the stock) remain to be brought to decency standards. This figure includes refusals and no access properties which are deemed as decent until they become vacant. Work has been carried out throughout this year to ensure that the programme is completed by the deadline date (December 2010) and that the delivery of the programme is affordable by utilising all of the available budget.	A M B E R <div style="border: 1px solid black; width: 40px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">33</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>
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29	<p>Adult Social Services:</p> <ul style="list-style-type: none"> - Demand continues to increase and only the most vulnerable are being helped - in-house costs are higher than independent sector costs - recruitment, retention, resources 	<p>Significant adverse impact on council financial position</p> <p>Adverse inspection outcomes.</p> <p>Adverse press reaction and user / public satisfaction</p>	<p>R E D</p> <div style="border: 1px solid black; width: 40px; margin: 10px auto; text-align: center;">52</div> <p>Previous periods: -3 -2 -1</p> <div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>	Chrissy Wright	<p>The 2010/11 & 11/12 budget setting process includes proposals to minimise the impact of cost and demographic pressures: (1) re negotiating contracts to achieve efficiency savings, (2) transforming traditional services to provide better outcomes and better use of resources, (3) reviewing high cost areas and (4) increasing income – bringing charges in line with other LA's. (5) continuing shifting the balance of care to the independent sector</p> <p>An Ageing Well Group has been established with representation from all partners to develop a strategic approach and action plan to meet the challenges of an ageing population.</p> <p>We have carried out an initial self assessment against the 12 criteria using the DoH "Use of Resources in Adult Social Care" The self assessment identifies key actions to be taken. The Directorate Service Plan prioritises these in an action plan to ensure delivery against the 12 criteria.</p>	<p>A M B E R</p> <div style="border: 1px solid black; width: 40px; margin: 10px auto; text-align: center;">33</div> <p>Previous periods: -3 -2 -1</p> <div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>													
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EDS																							
37	EDS – YES Project	Risk of project not being implemented in full by preferred developer due to lack of attractiveness of the scheme to investors, with consequential loss of income.	A M B E R <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">48</div>	Karl Battersby	<p>Signed Development Agreement with Oak Holdings in November 08.</p> <p>Planning application for renewal of the permission submitted Jan 2010.</p> <p>Action plan obstacles are up to date</p> <p>May 2010 Planning application to Planning Board, which is disposed to grant approval. The application is now with Government for a decision. The renewal of the planning permission has been supported by planning board, and not called in by the Secretary of state. The issue of the planning permission is now imminent.</p> <p>Transfer of Rother Valley management to Oak Holdings for 7 years from May 2009 to improve chances of a positive outcome.</p>	A M B E R <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">36</div>																	
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43	Local Government Reform Implementation Plan	Failure to implement statutory reforms provided for in national policy and new legislation	R E D <div style="border: 1px solid black; padding: 5px; width: 30px; margin: 0 auto;">60</div>	Matt Gladstone	<p>All current statutory requirements are met.</p> <p>The implementation plan has been completely refreshed to provide workstreams covering coalition government agreement commitments that are relevant to the Council. This is broader than the previous plan, which primarily covered governance issues.</p> <p>The previous version of the plan is being retained to cover commencement issues. These now primarily relate to e-petitions and byelaws.</p>	A M B E R <div style="border: 1px solid black; padding: 5px; width: 30px; margin: 0 auto;">26</div>											
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45	2010 Finance & Service Performance	Adverse impact on Housing Revenue Account balance sheet.	R E D <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">56</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div></div>	David Richmond	<p>2010 Core costs have been reduced and are in line with projected budget.</p> <p>Costs associated with the capital programme are projected to be less than originally anticipated.</p>	A M B E R <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">42</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div></div>													
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46	In House Service Provider	Continual financial deficit and regulatory risks as it has been continually flagged up by the Audit Commission.	R E D <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">52</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"><div style="background-color: yellow; border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div></div>	David Richmond	<p>Repairs & Maintenance Procurement Process is nearing completion with mobilisation expected in November.</p> <p>Contracts have come in within available budget and significant costs reduction will result.</p>	A M B E R <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">40</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div></div>													
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51	Carbon Reduction Commitment (CRC)	Risk of non compliance with Carbon Reduction Order due to inaccurate projections of consumption and inadequate funding.	A M B E R <div style="border: 1px solid black; padding: 2px; width: 40px; margin: 0 auto;">48</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>	Andrew Bedford	<p>Carbon Reduction Fund to be set up. Energy Efficiency Policy to be developed. CRC baseline to be determined. Training course being organised.</p> <p>Registration for the scheme is complete no penalty will be incurred. A new Energy Efficiency officer has been appointed (funded post) to assist with identifying energy reductions & engaging with staff, clients, customers and schools to encourage energy efficiency. Systems already in place to produce the data required for the scheme. A strategy will be developed for trading using available data and forecasts and this will firm up the required budgets going forward.</p> <p>Risk is lowering in terms of our ability to participate in the scheme and produce accurate data. Available finance is a risk though given our future budget challenges.</p>	A M B E R <div style="border: 1px solid black; padding: 2px; width: 40px; margin: 0 auto;">30</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>													
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52	Local Area Agreement 08-11	Risk that the Local Area Agreement targets are not met.	A M B E R <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">44</div> Previous periods: -3 -2 -1 <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Matt Gladstone	<p>Quarterly performance reporting to the Strategic Leadership Team, Cabinet and PSOC. Improvement plans in place and managed by the Local Strategic Partnership Theme Boards with support from the LSP's Chief Executives' Group. Performance Clinics are available as and when required.</p> <p>The future of the LAA is unclear and current guidance from the Department for Communities and Local Government states that no decision has yet been taken on the future of the LAA with discussion tied up with CSR 2010.</p> <p>Indications suggest that there will be freedom to set local targets and measures. The Community strategy is now being reviewed and local measures will be considered as part of this refresh.</p>	A M B E R <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">28</div> Previous periods: -3 -2 -1 <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

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53	EDRMS - Failure to implement EDRMS effectively across the Council.	Risk to Accommodation Strategy and WorkSmart Programme and unable to realise savings.	A M B E R <div style="border: 1px solid black; width: 40px; margin: 0 auto; text-align: center;">33</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>	Andrew Bedford	<p>First phase of the project successfully completed including full information audit and production of a draft file plan.</p> <p>A Steering Group with representation from all Directorates and RBT has been established and is meeting monthly to drive the programme forwards. Draft project plan produced setting out the roll out plan for DRM across all Directorates in the run up to the opening of the new building.</p> <p>Project management arrangements are being established.</p>	G R E E N <div style="border: 1px solid black; width: 40px; margin: 0 auto; text-align: center;">16</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>													
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55	Maximising the value from the renegotiated RBT contract	Failure to fully realise the benefits of the strategic partnership with BT.	A M B E R <div style="border: 1px solid black; width: 40px; margin: 0 auto; text-align: center;">36</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>	Andrew Bedford	<p>Strong partnership governance arrangements and strengthened client arrangements in place.</p> <p>Further development of benchmarking to ensure value for money.</p> <p>Developing Joint Forward Plan.</p> <p>Exploring synergies with other BT sites.</p>	G R E E N <div style="border: 1px solid black; width: 40px; margin: 0 auto; text-align: center;">24</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>													
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CYPS																															
58	Response to DFE notice to improve	<p>Future intervention from OFSTED/DFE.</p> <p>Children exposed to inadequately managed risk.</p> <p>Council exposed to financial and reputational risks.</p> <p>Impact on future inspection outcomes.</p>	R E D <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">72</div>	Joyce Thacker	<p>Compliance with requirements of Children's Act. Ensuring that targets for attainment are achieved.</p> <p>Increase in carers by March 2010 as a result of investment in 2009/10. Analysis of need being undertaken to inform more targeted recruitment in new campaign 2010.</p> <p>Multi-agency child protection procedures are fully implemented and embedded.</p> <p>Service improvement and school attainment improvement plan is monitored fortnightly internally and monthly by DFE. Milestones meeting confirmed that Ministers felt progress was satisfactory. Loss of funding could create a risk to continuing improvement.</p> <p>Fostering inspection June 2010 outcome satisfactory. Safeguarding and Looked After Children (LAC) inspection July 2010 outcome satisfactory. Action plans in place.</p> <p>If achievements and progress remain on trajectory against target, it may be possible that Ministers will remove Notice to Improve. Review meeting scheduled for December 2010.</p>	A M B E R <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">42</div>																									
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59	CYPS Resources	Insufficient and Ineffective use of resources to meet statutory and moral obligations due to focus on high priority services.	R E D <div style="border: 1px solid black; padding: 5px; width: 40px; margin: 0 auto;">80</div> Previous periods: -3 -2 -1 	Joyce Thacker	<p>Additional funding made into the service in 2010/11 and plans are being implemented to improve the use of existing resources. Regular monitoring and reporting of risks and progress to Cabinet, Scrutiny and Directorate Leadership Team.</p> <p>A review of partnerships and contributions is being undertaken.</p> <p>Savings work programme being implemented in key areas where savings have either already been assumed in budget setting or need to be delivered. All high spend areas are under review but these are mainly volatile and related to children in care.</p> <p>Due to high proportion of at risk grant funding we are looking at all non statutory services to assess the need to continue. Risk is growing as grant funding starts to be withdrawn before scheduled date.</p> <p>Risks continue to rise as despite reducing some previous Looked After Children (LAC), September has seen an increase due to court ordered placements being required, with a net effect of LAC numbers reaching an all time high.</p>	R E D <div style="border: 1px solid black; padding: 5px; width: 40px; margin: 0 auto;">64</div> Previous periods: -3 -2 -1 													
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60	<p>'Machinery of Government' – the transfer of services to the local authority, including funding and regulation of 6th form colleges, 16-19 funding and delivery of some young people's learning services</p> <table border="1" data-bbox="210 807 544 903"> <tr> <td>L</td> <td>Ac</td> <td>Al</td> <td>S</td> <td>P</td> <td>SD</td> <td>F</td> </tr> <tr> <td>√</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </table>	L	Ac	Al	S	P	SD	F	√							<p>Inadequate infrastructure and lack of clarity creates a lack of capacity to deliver key responsibilities.</p> <p>This could lead to failure to undertake critical tasks and impact on planning to put in place commissioning and allocation processes.</p>	<p>R E D</p> <div style="border: 1px solid black; width: 40px; margin: 0 auto; text-align: center;">64</div> <p>Previous periods: -3 -2 -1</p> <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: white;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: white;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: red;"></div> </div>	Joyce Thacker	<p>Expert groups established sub regionally with clearly defined remits. Production of a sub regional action plan for 2010/11 by July 2010. Participation within sub regional planning group (monitor and develop action plan) monthly.</p> <p>Report to Directors of Children's Services every term on progress and action required by individual Authorities. Attendance at change group meetings with other directorates as required.</p> <p>Weekly meetings with the Young People's Learning Agency re critical developments. Transfer and integration of staff from the Learning and Skills Council to resolve.</p> <p>Quarterly contract performance management and skills funding agency reporting set up. Change management reporting to Directorate Leadership Team and Cabinet as required.</p> <p>Report submitted to Cabinet Member and Scrutiny advising of services only recently transferred to RMBC moving back out to Young Peoples Learning Agency and Skills funding Agency.</p>	<p>A M B E R</p> <div style="border: 1px solid black; width: 40px; margin: 0 auto; text-align: center;">33</div> <p>Previous periods: -3 -2 -1</p> <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: white;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: white;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: yellow;"></div> </div>
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61	Community Stadium	<p>Failure by Rotherham UFC to secure funding to build a stadium, resulting in a lack of a crucial community facility. The site will not be purchased if the lease is not acceptable to the club.</p> <p>No provision has been made in the Council's MTFs for the payback of the bond, should the football club fail to move back into Rotherham.</p> <p>Reputation damage.</p>	<p style="text-align: center;">A M B E R</p> <p style="text-align: center;">39</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;">□ □ □</p>	Karl Battersby	<p>The Council and the land owner are close to finalising the conditions of land acquisition. If the build subsequently falls through, the land ownership would revert to RMBC.</p> <p>RMBC would then be liable for the listed building and would need to identify funding for maintenance, restoration and security etc.-</p> <p>The purchase of the site from Evans of Leeds has been successfully negotiated, and the planning application is due to be considered by Planning Board on the 4th November.</p>	<p style="text-align: center;">A M B E R</p> <p style="text-align: center;">30</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;">□ □ □</p>
EDS						
62	Civic Centre - WorkSmart Project	<p>Parts of the new building are not taken up. The existing estate remains partly occupied.</p> <p>Incomplete adoption of WorkSmart practices.</p>	<p style="text-align: center;">A M B E R</p> <p style="text-align: center;">38</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;">□ □ □</p>	Karl Battersby	<p>Effective leadership and adoption by departments of WorkSmart.</p> <p>Effective project management- contractual and logistical tasks re: detail programmes.</p> <p>Continuation of Chief Executive led steering group, with appropriate sponsorship also governance.</p>	<p style="text-align: center;">G R E E N</p> <p style="text-align: center;">16</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;">□ □ □</p>

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63	Cultural Quarter	<p>Cultural Quarter affordability.</p> <p>Forge Island option is unaffordable before 2015, requiring a temporary solution at least until that time. Otherwise the deal cannot proceed.</p>	<p>RED</p> <p>64</p> <p>Previous periods: -3 -2 -1</p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	Karl Battersby	<p>Cost and plan a medium term solution utilizing Bailey House to receive displaced services e.g. library, regimental museum, archives and storage</p> <p>A number of options have been explored, and Cabinet considered a report on these on 21 July.</p> <p>It was agreed on 10 August that the library would re locate to Riverside house and that we would keep the existing Civic Theatre in the medium term.</p>	<p>RED</p> <p>60</p> <p>Previous periods: -3 -2 -1</p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>													
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64	Managing budget adjustments	<p>Failure to deliver relevant services and achieve substantial budget reductions.</p> <p>Change management relating to the service adjustments necessary.</p>	<p>RED</p> <p>64</p> <p>Previous periods: -3 -2 -1</p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	Andrew Bedford	<p>Given highest priority through the Strategic Leadership Team and Cabinet having an ongoing focus on Government announcements made and by considering future options for services.</p> <p>Additional actions to mitigate the impact of budget reductions are being identified and implemented.</p>	<p>AMBER</p> <p>33</p> <p>Previous periods: -3 -2 -1</p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>													
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