

ROTHERHAM BOROUGH COUNCIL – REPORT TO PERFORMANCE AND SCRUTINY OVERVIEW COMMITTEE

1.	Meeting:	Performance and Scrutiny Overview Committee
2.	Date:	27 April 2011
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.

Included in the significant changes this period is a new risk relating to the integration of 2010 Rotherham Ltd services back into Council management. New risks have also been added relating to highways road conditions, schools collaboration (relating to procurement of services) and the establishment of Free Schools.

There are 2 red residual risks, relating to Use of Resources for Children's Services and Social Care Commissioning. This has reduced from 4 residual red risks in the previous quarter's report, as the achievement of the Cultural Quarter risk is not immediately at risk and the delivery of the Children & Young People's Plan is no longer a statutory requirement. Both have therefore been moved from the Corporate Risk Register to the EDS and CYPS Directorate Risk Registers respectively.

6. Recommendations

Performance, Scrutiny and Overview Committee is asked to:

- **note the updated corporate risk register summary attached at Appendix A**
- **indicate any further risks that the Committee 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 and after mitigating actions, as well as the general risk category for each priority or project included in the register.

7.2 Changes since previous SLT report.

The risk relating to the ALMO Decent Homes Programme has been removed from the corporate risk register following the completion of the programme.

Other significant changes in this period include:

- A new risk has been created relating to the integration of 2010 Rotherham Ltd services back into Council management (Appendix A reference SLT0014). This replaces the previous risk relating to 2010 Rotherham Ltd service and financial performance.
- The risk formerly titled 'Response to DFE Notice to Improve' (SLT0021) has been renamed 'Sustaining improvement post intervention' to reflect the official confirmation of the removal of the notice to improve, which was received on 13 January 2011.
- A new risk has been added to reflect the position regarding Highway Maintenance in light of deteriorating road conditions and finite budgets for road maintenance. (SLT0029).
- Two new CYPS risks have been added entitled 'Schools Collaboration' (SLT0030) and 'Free Schools and Other School Arrangements' (SLT0031) in recognition of the potential negative impact on both schools commissioning and wider Local Authority services.
- The risk relating to the Cultural Quarter has been removed from the Corporate Risk Register as this does not constitute an immediate risk.
- The former risk relating to the delivery of the Children & Young People's Plan (SLT0007) is no longer a statutory requirement and has therefore been moved to the CYPS Directorate Risk Register.
- The mitigations relating to former risk Academy Schools (SLT0028) are now at 90% complete level and / or are being managed operationally; therefore the risk has been moved to the CYPS Directorate Risk Register.

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?	Almost certain			04 Cost of Capital Programme(20) 14 2010 Integration (20) 27 Managing Budget Adjustments (20) 29 Highway Maintenance (20)	13 Commissioning (25) 21 Sustaining improvement (25) 22 Resources (25)
	Very Likely		01 Civic Building Accommodation (12) 05 Single Status (12)	03 Schools Capital investment(16) 09 Implementation of Personalisation in Adult Social Services (16) 12 Local authority reform implementation Plan (16) 30 Schools Collaboration (16) 31 Free Schools (16)	
	Likely		02 Waste Management Strategy (9) 17 Carbon Reduction Commitment (9) 18 EDRMS (9) 19 Relationship with RBT (9) 24 Community Stadium (9) 25 Civic Centre- Work Smart Project (9)		
	Possible				
	Unlikely				
	Insignificant	Minor	Significant	Major	Catastrophic
	Impact: Will it Hurt?				

Note on the diagram entries:

E.G. “ 04 Cost of Capital Programme (20)”. The first number, in this case 04, 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 (20), 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?

Almost certain				
Very Likely		04 Cost of Capital Programme(12) 14 2010 Integration (12) 21 Sustaining improvement (12) 27 Managing Budget Adjustments (12) 30 Schools Collaboration (12) 31 Free Schools (12)	13 Commissioning (16) 22 CYPS Resources (16)	
		03 Schools Capital Investment (9) 29 Highway Maintenance (9)		
	25 Civic Centre- Work Smart Project (4)	02 Waste Management Strategy (6) 05 Single Status (6) 17 Carbon Reduction Commitment (6) 24 Community Stadium (6)	09 Implementation of Personalisation in Adult Social Services (8) 12 Local authority reform implementation Plan (8)	
Likely	01 Civic Building Accommodation (2)	18 ED RMS (3) 19 Relationship with RBT (3)		

Insignificant Minor Significant Major Catastrophic

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.

7.4 Review of risks and trends

The Risk Register report is sent to directorates for updating on a quarterly basis. The draft report is then produced based on the responses that are given by the directorates. Further quality assurance takes place to ensure that the risks are being monitored effectively and to identify any notable changes. This

may take the form of seeking clarity from directors on information contained within the mitigation actions or on the risk scores. There are 18 risks in the current report that were also reported on in the previous report. Of these:

- 8 have been updated with additional mitigation actions put in place.
- 10 have remained unchanged.

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	12	→	Red	2
Amber	8		Amber	10
			Green	NIL
			Amber	4
			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	19.6	11.5	8.1
Amber	9.8	5.0	4.8

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 12: 'Local Government Reform Implementation Plan' from the corporate risk register is extracted below:

Ref	Risk Area	Current Risk	Pre - Mitigation Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control																							
Cross Cutting																													
0012	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: 2px; width: 30px; margin: 0 auto;">16</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 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: 2px; width: 30px; margin: 0 auto;">8</div>																							
	<table border="1" style="width: 100%; text-align: center; font-size: small;"> <tr> <td style="background-color: yellow;">L</td> <td style="background-color: blue;">Ac</td> <td style="background-color: blue;">Al</td> <td style="background-color: green;">S</td> <td style="background-color: red;">P</td> <td style="background-color: orange;">SD</td> <td style="background-color: grey;">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>Previous periods:</p> <table style="width: 100%; text-align: center; font-size: x-small;"> <tr> <td>-3</td> <td>-2</td> <td>-1</td> </tr> <tr> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> </tr> </table>	-3	-2	-1				<p>Previous periods:</p> <table style="width: 100%; text-align: center; font-size: x-small;"> <tr> <td>-3</td> <td>-2</td> <td>-1</td> </tr> <tr> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> </tr> </table>	-3	-2	-1			
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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	16 to 25	High level of risk, requiring close and regular review and further preventive or remedial action as necessary
Amber	5 to 15	Medium level of risk, requiring regular monitoring and, in the event of any identified increase in risk, escalation for consideration of further actions.
Green	1 to 4	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	Pre - Mitigation Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control														
Major Projects																				
0001	Civic Building accommodation <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	√	√	√	√	√	√	√	New accommodation not fit for purpose Failure to maximise use of resources Failure to modernise services and respond to changing needs Failure to apply appropriate governance arrangements: procurement; risk transfer; affordability; deliverability; structures and controls.	<div style="background-color: yellow; text-align: center; padding: 10px;"> A M B E R <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">12</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> </div>	Karl Battersby	The business case was agreed by Cabinet in September 2008. Planning permission granted in June 2009. Judicial Review ended 22 Dec 09. Land works commenced on site Jan 2010. The contract went unconditional in December. All pre-commencement conditions have been discharged. Building progressing on time, no issues to report; fit out contract was entered into on 15 th December 2010. Building completion due on 16 th September 2011, with first decants into building in November.	<div style="background-color: #90EE90; text-align: center; padding: 10px;"> G R E E N <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">2</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> </div>
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Ref	Risk Area	Current Risk	Pre - Mitigation Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control														
Major Projects																				
0002	<p>Delivery of the Waste Management strategy. Failure could involve significant penalties.</p> <p>Needs:</p> <p>1 Disposal facilities to be agreed with other authorities</p> <p>2 Med term contracts 2008-2014/2015</p> <p>3 Long term contract 2014 2015 onwards</p> <p>Two treatment solutions are currently being considered, "energy from waste" and "mechanical biological treatment". Both treatment solutions will assist the Council in delivering a 50% recycling rate.</p> <table border="1"> <thead> <tr> <th>L</th> <th>Ac</th> <th>AI</th> <th>S</th> <th>P</th> <th>SD</th> <th>F</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td>√</td> <td>√</td> <td>√</td> <td></td> </tr> </tbody> </table>	L	Ac	AI	S	P	SD	F				√	√	√		<p>Potential significant financial penalties</p> <p>Adverse inspection assessment</p> <p>Failure to apply appropriate governance arrangements:</p> <ul style="list-style-type: none"> - procurement - risk transfer - affordability - deliverability - structures and controls <p>Failure to meet targets relating to the diversion of biodegradable municipal waste from landfill.</p>	<p>A M B E R</p> <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">9</div> <p>Previous periods: -3 -2 -1</p> <div style="display: flex; justify-content: space-around;"> <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	<p>BDR Waste Partnership has secured £74.4m in PFI credits. DEFRA has confirmed continuing support.</p> <p>PFI: 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.</p> <p>Final Tender documents were issued to 2 bid consortia in December 2010</p> <p>Although the timetable has slipped due to closing off dialogue with bidders, the project is continuing to be supported by DEFRA to deliver a long term waste solution for the BDR Councils. Preferred bidder to be chosen on the 23rd March Cabinet with formal announcement on the 6th April 2011.</p> <p>The BDR Waste Partnership is seeking to obtain financial close on the Project in Summer 2011.</p>	<p>A M B E R</p> <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">6</div> <p>Previous periods: -3 -2 -1</p> <div style="display: flex; justify-content: space-around;"> <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>
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0003	<p>Schools Capital Investment</p> <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	√	√	√	√	√	√		<p>The Secretary of State has closed the BSF programme to those authorities "not at financial closure with their partners".</p> <p>This does not necessarily mean the end of capital spend on schools but further details will be given following the review in the autumn.</p>	<p>R E D</p> <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">16</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; background-color: red;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: red;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: red;"></div> </div>	Karl Battersby	<p>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.</p> <p>In addition. The DfE decision on funding for schools has ensured that we can now allocate resources appropriately.</p>	<p style="text-align: center;">A M B E R</p> <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">9</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; background-color: red;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: red;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: yellow;"></div> </div>
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Major Projects																				
0004	<p>Costs of the capital programme.</p> <p>Significant revenue consequences (£11m per year).</p> <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	√	√	√	√	√	√	√	<p>Significant financial impact and/or failure to deliver the capital programme.</p>	<p>R E D</p> <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">20</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; background-color: red;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: red;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: red;"></div> </div>	Andrew Bedford	<p>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</p>	<p style="text-align: center;">A M B E R</p> <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">12</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; background-color: yellow;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: yellow;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: yellow;"></div> </div>
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Ref	Risk Area	Current Risk	Pre - Mitigation Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control
Cross Cutting						
0005	Impact of single status job evaluation.	Lengthy timescales, causing uncertainty and possible unrest unless resolved quickly. <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; width: 30px; margin: 0 auto; text-align: center;">12</div> Previous periods: -3 -2 -1 <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Phil Howe	<p>Phase 2 implemented successfully on 1/04/08. Through the effective implementation process RMBC has successfully avoided major industrial unrest.</p> <p>Barrister commissioned to help defend Equal Pay challenges. Reasonable conclusion on No Win No Fee and Trade Union solicitors' cases. There are two low value unresolved claims from the no win no fee solicitor.</p> <p>The memo of understanding with the trade unions has now been signed and individual offers of settlement were passed to the trade unions' solicitors. Thirty eight new claims from Trade Union Members have been received. No offers have been made to these new claimants.</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; width: 30px; margin: 0 auto; text-align: center;">6</div> Previous periods: -3 -2 -1 <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

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Neighbourhoods and Adult Services																																
0009	<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 <table border="1"> <thead> <tr> <th>L</th> <th>Ac</th> <th>AI</th> <th>S</th> <th>P</th> <th>SD</th> <th>F</th> </tr> </thead> <tbody> <tr> <td></td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> </tr> </tbody> </table>	L	Ac	AI	S	P	SD	F		√	√	√	√	√	√	<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: 0 auto; padding: 5px;">16</div> <p>Previous periods:</p> <table style="margin: 0 auto;"> <tr> <td style="text-align: center;">-3</td> <td style="text-align: center;">-2</td> <td style="text-align: center;">-1</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	-3	-2	-1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Chrissy Wright	<p>The 2010/11 & 11/12 budget setting process has 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, (3) reviewing high cost areas (4) increasing income – bringing charges in line with other LA's, and (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. The work is progressing well, with a target April 2011 for the delivery of the Ageing Well Strategy and the implementation plan.</p> <p>An initial self assessment against the 12 criteria in DoH "Use of Resources in Adult Social Care" has resulted in actions being added into the Directorate Service Plan.</p> <p>Members have agreed to merge Re-enabling and wardens services to create a prevention/early intervention service. Merger will deliver full year savings of £1.3m and create capacity.</p>	<p>A M B E R</p> <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">8</div> <p>Previous periods:</p> <table style="margin: 0 auto;"> <tr> <td style="text-align: center;">-3</td> <td style="text-align: center;">-2</td> <td style="text-align: center;">-1</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	-3	-2	-1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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0012	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; width: 30px; margin: 0 auto; text-align: center;">16</div>	Matt Gladstone	<p>All current statutory requirements are met.</p> <p>The implementation plan is capturing all developments. Consultations are being responded to.</p> <p>A cross council working group has been established to take forward the cross-cutting nature of the Localism Bill and a report will be presented to SLT and Cabinet in May/June. Reports will also be made to Cabinet members' delegated powers meetings as appropriate.</p> <p>A programme of sessions has been held for members as part of the member development programme. Members have agreed that further sessions should be held as the agenda develops. Arrangements are also in place to connect with the voluntary sector and parish councils' network.</p>	A M B E R <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">8</div>																								
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0013	Commissioning	We continue to commission services in a traditional, unaffordable manner resulting in a failure to achieve better VFM and improved outcomes.	R E D <div style="border: 1px solid black; width: 30px; margin: 0 auto; padding: 2px;">25</div>	Matt Gladstone	<p>The risk relating to the commissioning of some Children's Services increased due to a halt on some contracts as a result of £2.1m reduction in Area Based Grant. All contracts will be reviewed to ensure exit strategies are up to date and applied where appropriate. Position adversely affects chances of achieving commissioning objectives.</p> <p>The Council has just completed a review of policy and performance resources across the Council and this includes commissioning resources. The Director will now concentrate on ensuring that commissioning priorities are agreed by SLT and resources redeployed accordingly.</p> <p>The Commissioning VFM review which is seeking to improve outcomes and better VFM can now be quickly progressed.</p> <p>Main priorities for the coming year are achieving efficiency savings, co-ordinate across the organisation, improve external Children's placements into care and assist the School catering service</p>	R E D <div style="border: 1px solid black; width: 30px; margin: 0 auto; padding: 2px;">16</div>																							
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Neighbourhoods and Adult Services																				
0014	2010 Transition arrangements <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				√				Adverse impact on: - services to tenants - Housing Revenue Account resources.	R E D <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">20</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	Significant work is being carried out by RMBC and 2010 Rotherham Ltd senior managers to plan the transfer of services back to the Council. A comprehensive project plan is being developed to manage risks associated with the integration of all services. A strategy for absorbing the Company's residual financial position is in place and will be applied as the final position is clarified.	A M B E R <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">12</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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0017	Carbon Reduction Commitment (CRC) <table border="1" data-bbox="286 571 645 715"> <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	√	√	√	√	√	√	√	Risk of non compliance with Carbon Reduction Order due to inadequate funding. The coalition government announced in the Comprehensive Spending Review that significant changes would be made to the Carbon Reduction Commitment (CRC) Energy Efficiency Scheme	A M B E R <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">9</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	Carbon Reduction Fund to be set up. Registration for the scheme is complete. A Carbon Reduction Officer has been appointed 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, but improvements on accuracy, property changes and reporting in process. Risk is lowering in terms of our ability to participate in the scheme and produce accurate data. The current estimated cost of purchasing the allowances in 2012/13 has been built into the MTFS. The risk is still amber as details of the scheme are still changing, including the cost of purchasing the allowances so the amount built into the MTFS may prove to be insufficient. Work continues on reducing emissions across RMBC street lighting and operational properties. Work with schools continues but RMBC can only influence.	A M B E R <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">6</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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0018	EDRMS - Failure to implement EDRMS effectively across the Council. <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	√	√	√	√	√	√	√	Risk to Accommodation Strategy and WorkSmart Programme and unable to realise savings.	A M B E R <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">9</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. Project plan produced setting out the roll out plan for all Directorates in the run up to the opening of the civic office. Project management arrangements are being established.</p>	G R E E N <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">3</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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0019	Maximising the value from the renegotiated RBT contract <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	√	√	√	√	√	√	√	Failure to fully realise the benefits of the strategic partnership with BT.	A M B E R <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">9</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: 30px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">3</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																							
0021	Sustaining improvement post intervention.	<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;">25</div>	Joyce Thacker	<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.</p> <p>Fostering inspection June 2010 outcome satisfactory.</p> <p>Safeguarding and Looked After Children (LAC) inspection July 2010 outcome satisfactory. Action plans in place.</p> <p>Confirmation of removal of Notice To Improve received on 13 January 2011. Action plans subsequently reviewed and updated to reflect current position and future improvement targets.</p>	A M B E R <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">12</div>																	
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0022	CYPS Resources <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	√							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; width: 40px; margin: 0 auto; padding: 5px;">25</div> Previous periods: -3 -2 -1 <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	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. Savings work programme being implemented in key areas. 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. Risks continue as pressure to place Children in care continues.</p> <p>Following the Council's injection of additional funding in 2010/11, CYPS is projecting a balanced budget outturn. 2011/12 settlement agreed at full Council on 3 March 2011. CYPS continue to work through service reductions.</p>	R E D <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">16</div> Previous periods: -3 -2 -1 <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
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0024	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;">9</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;">□ □ □</p>	Karl Battersby	<p>Outline planning permission has been granted for the development.</p> <p>The purchase of the site from Evans of Leeds has been successfully negotiated and completed by RMBC.</p> <p>Lease agreement between RMBC and RUFC to be finalised.</p> <p>Planning application for infill and land levels to be considered by planning board on the 28th April, to enable start on site in May 2011. RUFC has selected the contractor.</p> <p>If the build subsequently falls through, the land ownership would revert to RMBC. RMBC would then be liable for the listed building and would need to identify funding for maintenance, restoration and security etc.-</p>	<p style="text-align: center;">A M B E R</p> <p style="text-align: center;">6</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;">■ □ □</p>

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0025	Civic Centre - WorkSmart Project <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	√							Parts of the new building are not taken up. The existing estate remains partly occupied. Incomplete adoption of WorkSmart practices.	<div style="background-color: yellow; text-align: center; padding: 10px;"> A M B E R <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">9</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> </div>	Karl Battersby	Effective leadership and adoption by departments of WorkSmart. Effective project management- contractual and logistical tasks re: detail programmes. WorkSmart Steering Group is being disbanded; the construction project will now report to Strategic Director, EDS and WorkSmart to the Estates Manager, EDS through Directorate Champions.	<div style="background-color: #90EE90; text-align: center; padding: 10px;"> G R E E N <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">4</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> </div>
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0027	Managing budget adjustments <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	√							Failure to deliver relevant services and achieve substantial budget reductions. Change management relating to the service adjustments necessary.	<div style="background-color: red; text-align: center; padding: 10px;"> R E D <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">20</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> </div>	Andrew Bedford	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. Additional actions to mitigate the impact of budget reductions are being identified and implemented.	<div style="background-color: yellow; text-align: center; padding: 10px;"> A M B E R <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">12</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> </div>
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0029	Highway Maintenance <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	√							Maintenance of the highway so that it meets at least national average standards for condition is a corporate priority. Due to a 50% reduction in external funding and insufficient revenue funding for maintenance the general condition of the highway will fall to below national average condition within 3 years.	R E D <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">20</div> Previous periods: -3 -2 -1 <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>	David Burton	<p>Review packaging of work to include “super patching” as a replacement to major schemes</p> <p>Approval has been given for additional funding</p> <p>Review operational and working arrangements for highway teams leading to a reduction in overtime and reduced unit costs.</p> <p>Target is 5% increase in efficiency by May 2011</p>	A M B E R <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">9</div> Previous periods: -3 -2 -1 <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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0030	Schools' Collaboration <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	√							Impact of schools commissioning (or not) services on a collaborative basis could impact on the Local Authority. Services such as finance, building management, health and safety, SEN etc could be affected. This would impact on the Council more widely than just CYPS.	R E D <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">16</div> Previous periods: -3 -2 -1 <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>	Joyce Thacker	<p>The situation is currently being monitored and a report being prepared for Cabinet.</p> <p>The Strategic Director has communicated with all Head Teachers and Chairs of Governors regarding the implications of collaboration and purchasing services from outside the Council. The appetite for schools to pursue this route is still being assessed</p>	A M B E R <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">12</div> Previous periods: -3 -2 -1 <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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Ref	Risk Area	Current Risk	Pre - Mitigation Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control
0031	Free Schools and other School Arrangements	With the introduction of free schools and other arrangements - risk of LA school falling numbers, loss of revenue, reduction in attainment of C & YP in Rotherham.	R E D <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: 100%;"> <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>	Joyce Thacker	<p>The situation is currently being monitored and a report will be prepared for Cabinet in due course.</p> <p>The implications for local schools in relation to pupil learning and financially is being assessed by CYPS working with schools in the areas of proposed free schools.</p>	A M B E R <div style="border: 1px solid black; width: 40px; margin: 0 auto; text-align: center;">12</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100%;"> <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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