

Leicester
City Council

**WARDS AFFECTED
ALL WARDS (CORPORATE ISSUE)**

Forward Timetable of Consultation and Meetings

Performance and Value for Money Select Committee
Cabinet Briefing
Cabinet

21st February 2008
25th February 2008
3rd March 2008

Third Quarter Performance Report 2007/08

Report of the Director of Partnership, Performance & Policy

1. Purpose of Report

- 1.1 This report presents the performance of the Council and its Partners in delivering services to citizens during the third quarter of 2007/08. The information provided is set out to show performance against CPA, Corporate Plan, Local Area Agreement (LAA) and Departmental indicator sets.
- 1.2 The report includes an update on the treatment of corporate risks within the Council. The details are contained in the matrix that forms Appendix 2 of this report, together with suggested mitigating actions and those responsible for addressing these issues.

2. Summary

Overall Performance

- 2.1 The performance of the broad range of indicators, monitored by departments within the Performance Management System (PMS), is set out in paragraph 2.8 by the different groupings used by the Council.
- 2.2 The overall performance position is set out below in terms of the direction of travel and the performance against target. The direction of travel position will be determined by the movement since a year ago. Departments have worked hard to ensure data is entered on the system, however some data is still unavailable, not all of which is a concern, but nevertheless continued vigilance is still necessary to ensure all data is entered on time.

The full data shows:

Direction of Travel	3rd Qtr 2007/08
Improved	49% (135)
Static	25% (68)
Declined	21% (58)
Data Unavailable	5% (14)

Performance against Target	1st Qtr 2007/08	2 nd Qtr 2007/08	3 rd Qtr 2007/08
Above	16%	21%	22%
Within tolerance	38%	52%	56%
Below	16%	20%	18%
Data Unavailable	30%	8%	4%

- 2.3 On 1st April 2008 the new set of national indicators will replace current measures for all performance assessments by government. Officers are preparing for the changeover to the 198 indicators, and the local indicators being included in the Local Area Agreement (LAA). In the next quarter report we expect to be able to provide a baseline position on most of the 198 indicators together with details of the reporting schedule to begin in June 2008.

CPA Performance

- 2.4 Performance during the third quarter remains strong in the following areas. The Corporate Director Adults and Housing forecasts that the Housing service block will improve to a score of 4 up from a score of 3. The Corporate Director Regeneration & Culture reports that the Environment Block is improving and predicts a score of 4 up from a 3. Data for BV 187 Condition of Footways shows that performance is better than originally anticipated and will score above the CPA lower threshold.
- 2.5 The Culture CPA service Block is predicted to maintain its score of 3. "Use of Resources" is at level 3 and performance in the Benefits service block also indicates a level 3 score will be achieved.
- 2.6 On 15th January 2008 under CPA 2007 the Audit Commission confirmed the Authority's Direction of Travel judgement (under embargo until 7th February 2008). The authority is judged to be "improving adequately". The Authority is judged to have improved in priority areas but not consistently. Waste, recycling and planning are improving well. Progress in improving educational attainment and the cleanliness of the environment remain slower.
- 2.7 In December 2007 the Audit Commission released the Authority's Use of Resources results. We have scored level 3 overall. Generally, we are strong on financial reporting, financial management and financial standing. There is scope for improvement in internal control and value for money.

Performance by indicator group

2.8 Below is a breakdown of performance for different sets of indicators at the end of the third quarter 2007/08:

CPA indicators

Analysis of the Audit Commission Direction of Travel indicators, used in the Corporate Assessment block of the CPA, shows:

Direction of Travel	3 rd Qtr 2007/08
Improved	43% (43)
Static <i>(note: 17% are 3 year survey measures)</i>	32% (32)
Declined	24% (24)
Data unavailable	2% (2)

Performance against Target	1st Qtr 2007/08	2 nd Qtr 2007/08	3 rd Qtr 2007/08
Above	19% (19)	21% (21)	31% (31)
Within tolerance	32% (33)	34% (35)	54% (54)
Below	44% (45)	38% (39)	14% (14)
Data Unavailable	5% (5)	7% (6)	2% (2)

LAA indicators:

Direction of Travel	3 rd Qtr 2007/08
Improved	32% (62)
Static	21% (42)
Declined	14% (27)
Data Unavailable	33% (65)

Performance against Target	1st Qtr 2007/08	2 nd Qtr 2007/08	3 rd Qtr 2007/08
Above	8% (17)	22% (44)	20%
Within tolerance	26% (51)	34% (67)	33%
Below	20% (39)	26% (52)	26%
Data Unavailable	46% (92)	17% (33)	20%

LAA data has historically been collected and reported on a 6 monthly basis. Given the focus of attention at the moment on negotiating a new LAA and preparing to collect, report and manage the new national indicator set from April it has not been possible to provide a comprehensive quarterly report.

Under the new arrangements from April we intend to provide performance reports at the required frequency (albeit subject to the frequency of data being published).

Corporate Plan indicators:

Direction of Travel	3 rd Qtr 2007/08
Improved	32% (12)
Static	45% (17)
Declined	16% (6)
Data Unavailable	5% (3)

Performance against Target	1st Qtr 2007/08	2 nd Qtr 2007/08	3 rd Qtr 2007/08
Above	2%	8% (3)	11% (4)
Within tolerance	43%	39% (15)	43% (16)
Below	32%	47% (18)	41% (15)
Data Unavailable	22%	5% (2)	5% (2)

Resources Department indicators:

Direction of Travel	3 RD Qtr 2007/08
Improved	47% (9)
Static	32% (6)
Declined	16% (3)
Data Unavailable	5% (1)

Performance against Target	1st Qtr 2007/08	2 nd Qtr 2007/08	3 rd Qtr 2007/08
Above	5% (1)	5% (1)	5%
Within tolerance	37% (7)	68% (13)	68%
Below	5% (1)	26% (5)	26%
Data Unavailable	53% (10)	0% (0)	0%

Adults & Housing Department indicators:

Direction of Travel	3 rd Qtr 2007/08
Improved	60% (56)
Static	20% (19)
Declined	17% (16)
Data Unavailable	3% (3)

Performance against Target	1st Qtr 2007/08	2 nd Qtr 2007/08	3 rd Qtr 2007/08
Above	20% (20)	25% (22)	27%
Within tolerance	49% (50)	58% (51)	57%
Below	18% (18)	16% (14)	16%
Data Unavailable	14% (14)	1% (1)	0%

C&YP Department indicators:

Direction of Travel	3 rd Qtr 2007/08
Improved	51% (33)
Static	14% (9)
Declined	20% (13)
Data Unavailable	15% (10)

Performance against Target	1st Qtr 2007/08	2 nd Qtr 2007/08	3 rd Qtr 2007/08
Above	4% (2)	9% (6)	10%
Within tolerance	6% (3)	48% (32)	54%
Below	4% (2)	15% (10)	16%
Data Unavailable	85% (42)	27% (18)	20%

Regeneration & Culture Department indicators:

Direction of Travel	3 rd Qtr 2007/08
Improved	38% (37)
Static	35% (34)
Declined	27% (26)
Data Unavailable	0% (0)

Performance against Target	1st Qtr 2007/08	2 nd Qtr 2007/08	3rd Qtr 2007/08
Above	21% (20)	28% (27)	29%
Within tolerance	40% (38)	46% (45)	50%
Below	23% (22)	24% (24)	21%
Data Unavailable	17% (16)	2% (2)	0%

Corporate Risk Register

2.9 Risks have been categorised under the following headings

- Risks associated with strategic leadership
- Failure of central ICT Services
- Significant financial loss or significant unplanned expenditure
- Loss of access to key premises or injury from access to premises.
- Major projects
- Partnership withdraws significant funding or fails to deliver anticipated services
- Failure to meet key compliance criteria laid down by Government
- Loss of stakeholder confidence
- Response to a major event adversely affecting the Council, its employees, the people in its care, or the people of Leicester
- Significant operational risks

- 2.10 The details are contained in the matrix that forms Appendix 2 of this report, together with suggested mitigating actions and those responsible for addressing these issues.
- 2.11 The risk improvement actions presented for consideration, reflect, wherever possible, work which is already being done across the Council to improve the Council's risk profile.
- 2.12 The Corporate Risk Manager will work with Directors' Board to support the implementation of ongoing actions agreed, presenting the updated Corporate Risk Register to DB quarterly.

3. Recommendations

- 3.1 Members are recommended to:
- Congratulate those areas demonstrating continuous improvement in performance;
 - Review the third quarter performance results and consider the need for any special action on areas of concern;
 - Receive the corporate risk register, and;
 - Receive regular reports on actions taken to mitigate the identified risks as part of the regular performance management process.

4. Report

- 4.1 The first Corporate Assessment under the CPA for six years is currently in progress, together with a Joint Area Review of Children's Services. The corporate assessment contributes 50% of the overall comprehensive performance score. The overall Service block score is level 3. Early feedback from the inspectors may be available to update this report as it goes through its reporting cycle. The final corporate assessment report will be published in June.

Data Unavailable

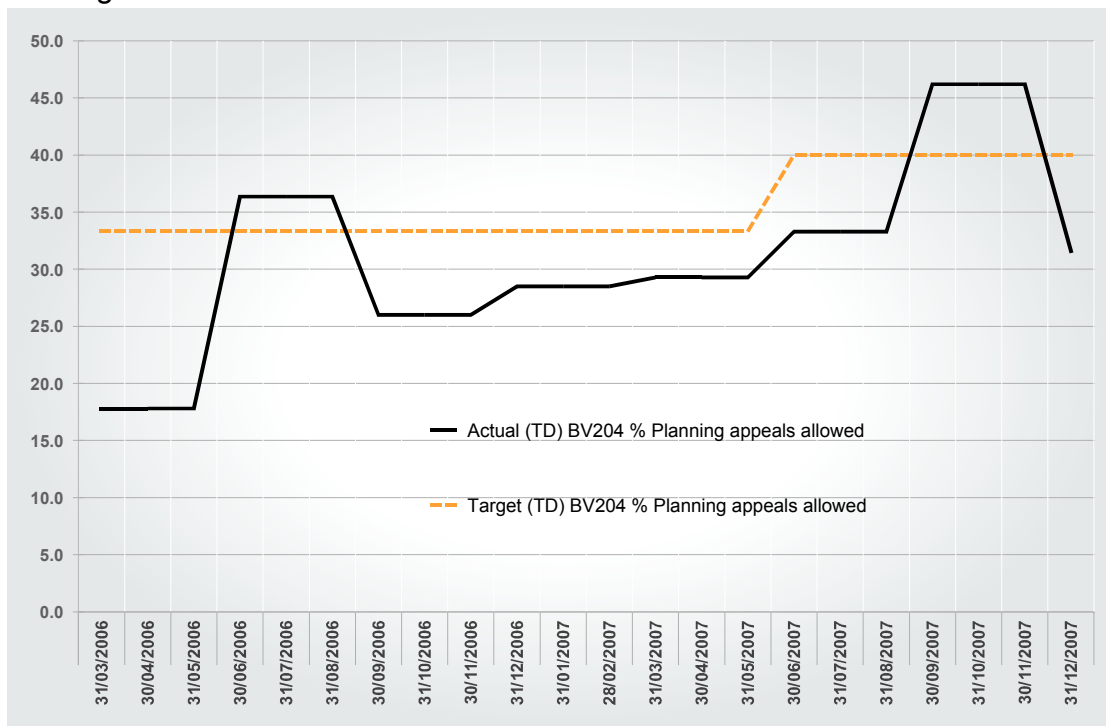
- 4.2 Departments have worked hard during the period to ensure data is entered on the system; however some data is still unavailable, not all of which is a concern, but nevertheless continued vigilance is still necessary to ensure all data is entered on time.
- 4.3 Monitoring information for children and young people's services, including the latest data, is currently collated and reported separately. The quarter three monitoring report is now available.
- 4.4 The Children and Young People's Services department is working to integrate with the Performance Plus system by June 2008.

Areas of Improved Performance

4.5 The following areas have demonstrated continuous improvement in performance through the third quarter:

Environment

4.6 **BV204 E42:** Proportion of Planning Appeals Allowed, low is good, has improved during the third quarter to 31.58%. Our 2007/08 forecast is 33.0% and we are likely to exceed our target of 40.0%.



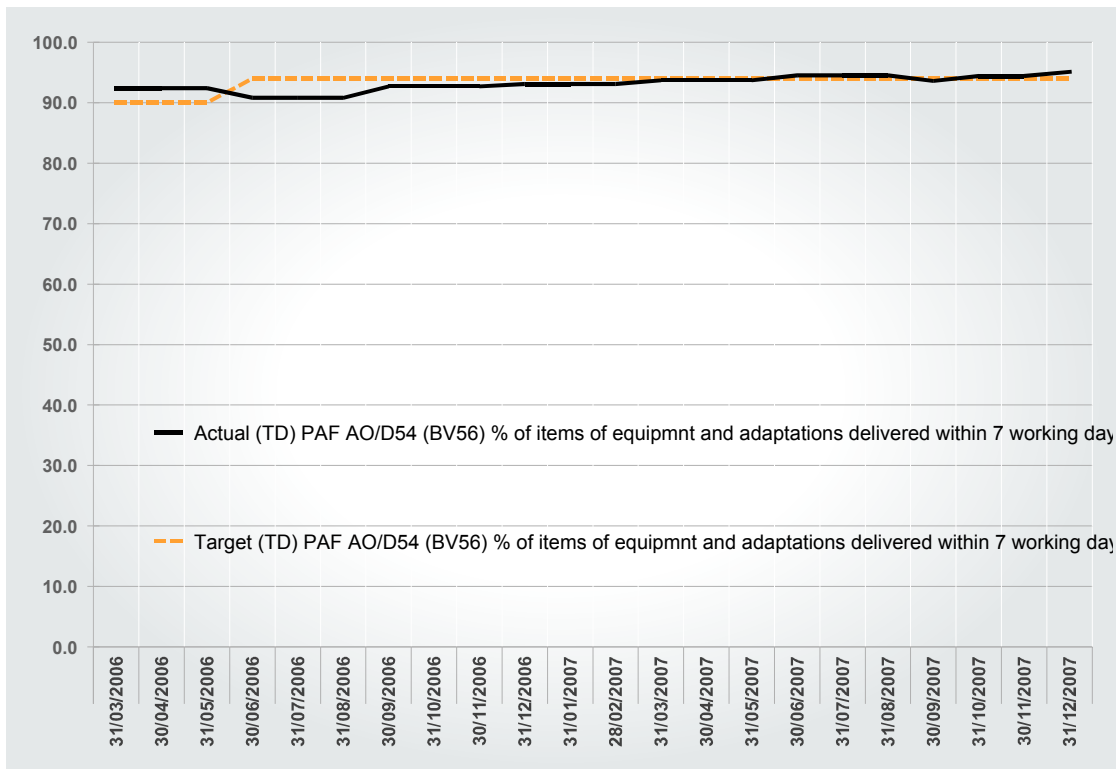
4.7 The previously reported increases in percentage of planning appeals allowed were due to records not being entered onto the Datawrite system. The inclusion of this data had brought performance above the target but did give a true reflection of the actual performance.

4.8 During Quarter 3 however, none of the six planning appeals had been allowed which has brought the performance down to 31.58%, which means the service is exceeding the CPA lower threshold of 37.5%.

Social Care (Adults)

4.9 **PAF D54:** Percentage of items of equipment and adaptations delivered within 7 working days, has gone up from its 2006/07 end of year position of 93.7% to 95.1% at 31 December 2007. Based on third quarter data we will exceed our 2007/08 target of 94%.

4.10 Performance in this indicator has always been strong, but Quarter Three in isolation (September to December inclusive) saw performance at its highest level for more than two years (96.4%).



4.11 The 'threshold management' approach agreed in previous reports has been applied to highlight performance indicators (PI's) for attention as follows:

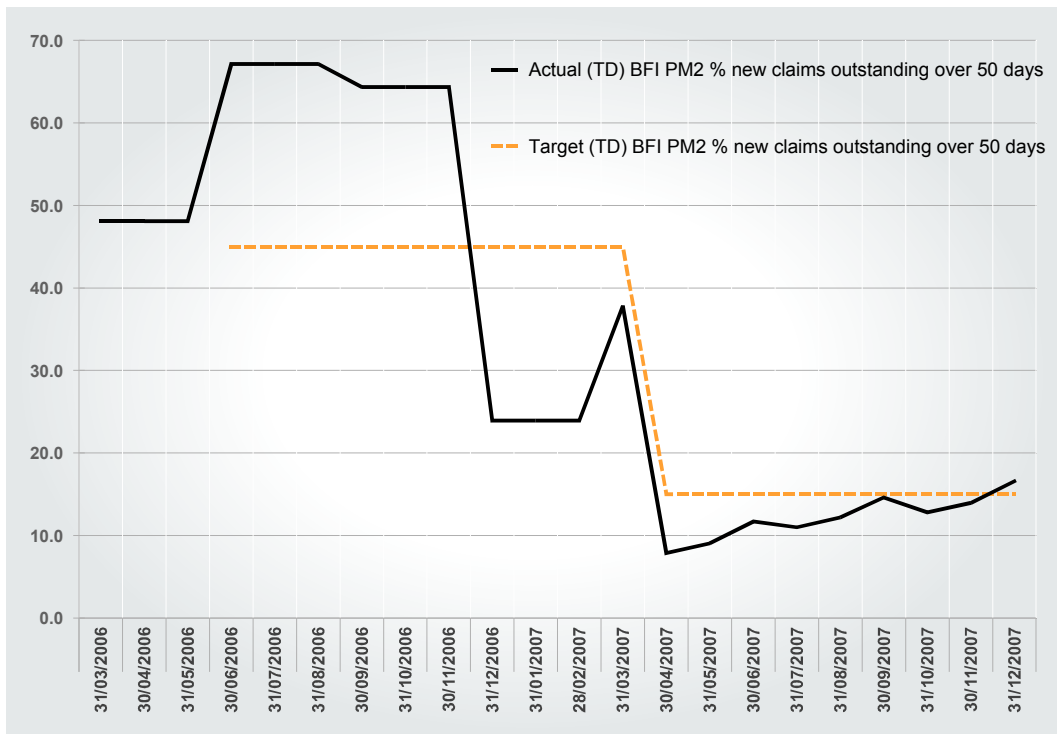
- Any PI's where the performance is on or around the thresholds.
- Any PI's where the performance trend is set to go across the threshold in a relatively short time. This could include PI's doing well to maintain momentum or those PI's in trouble and declining fast.

4.12 Applying the above criteria identifies that the following performance indicators require attention:

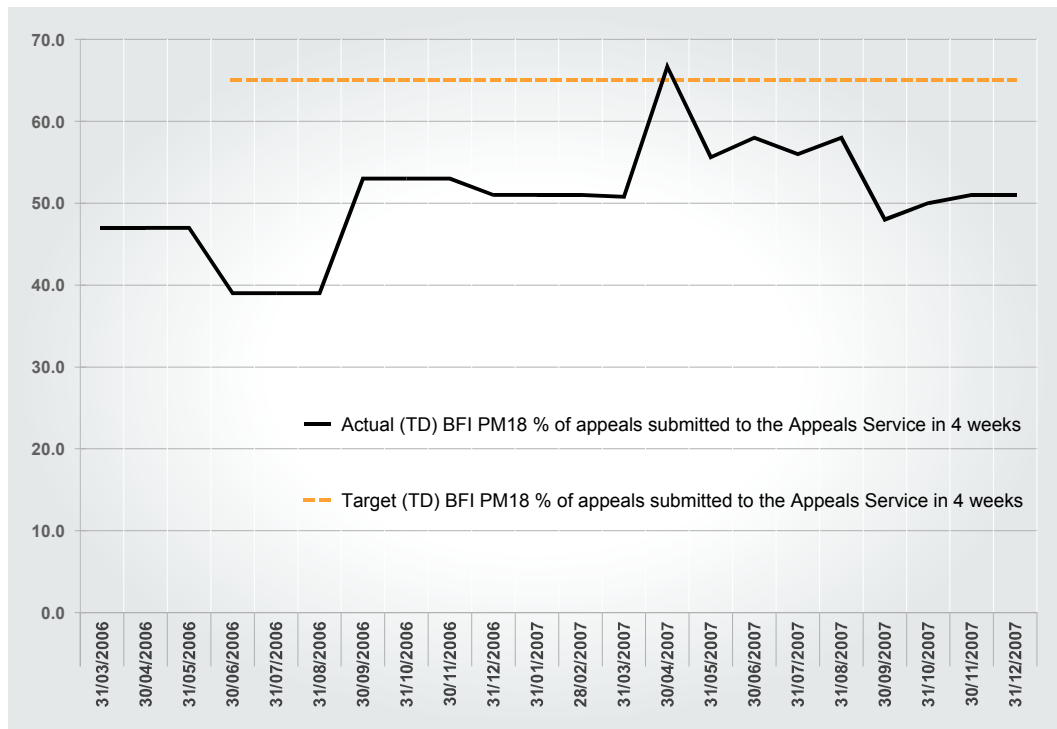
Benefits

4.13 **PM2**: % of new claims over 50 days, low is good, has a 2007/08 end of year target of 15%. Third quarter data shows a figure of 16.58% and we are currently unlikely to meet our target.

4.14 There has been a decline in performance. However this has been quickly identified and staff are targeting the older cases. New cases are being actioned by staff redirected from other functions and by the use of external contractors. A Level 3 performance is predicted for the year.



4.15 **PM18**: % of appeals submitted to the Appeals Service in four weeks, has declined during the period to 51.0%. Based on third quarter data we are unlikely to meet our 2007/08 end of year target of 65.0%.

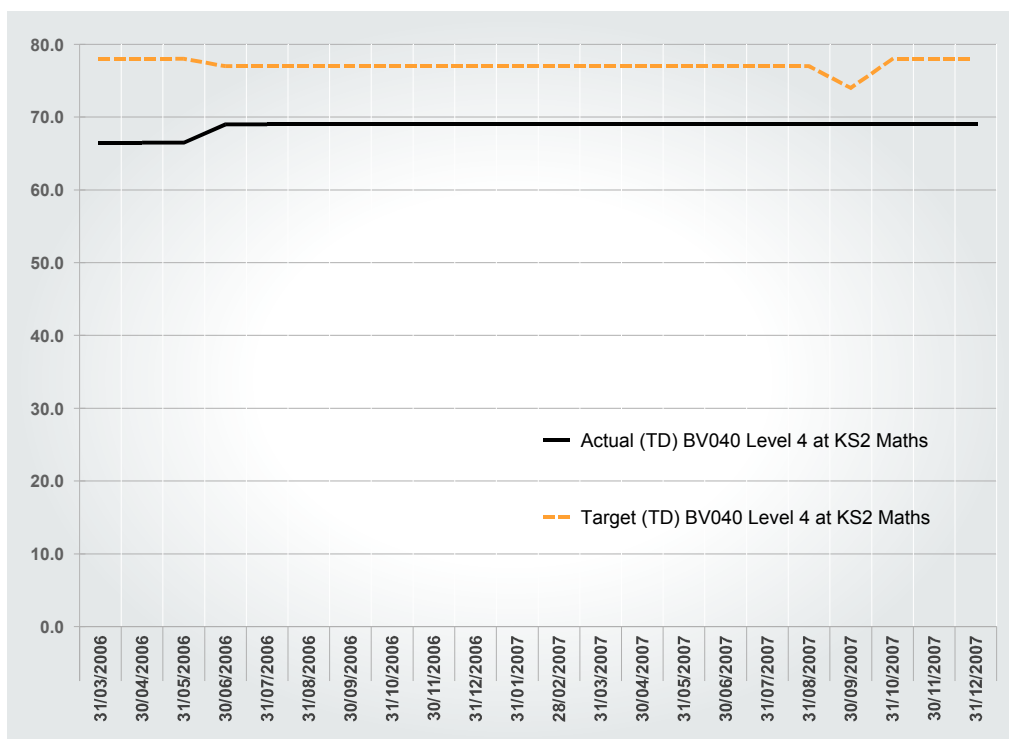


4.16 Performance has been adversely affected by the late identification of appeals during Qtr 2. Procedures have been altered and these have resulted in the improved performance

during Qtr 3. This is currently operating at Level 2 and we do not anticipate that the improvements will have sufficient time to lift the measure into Level 3 by the end of the year.

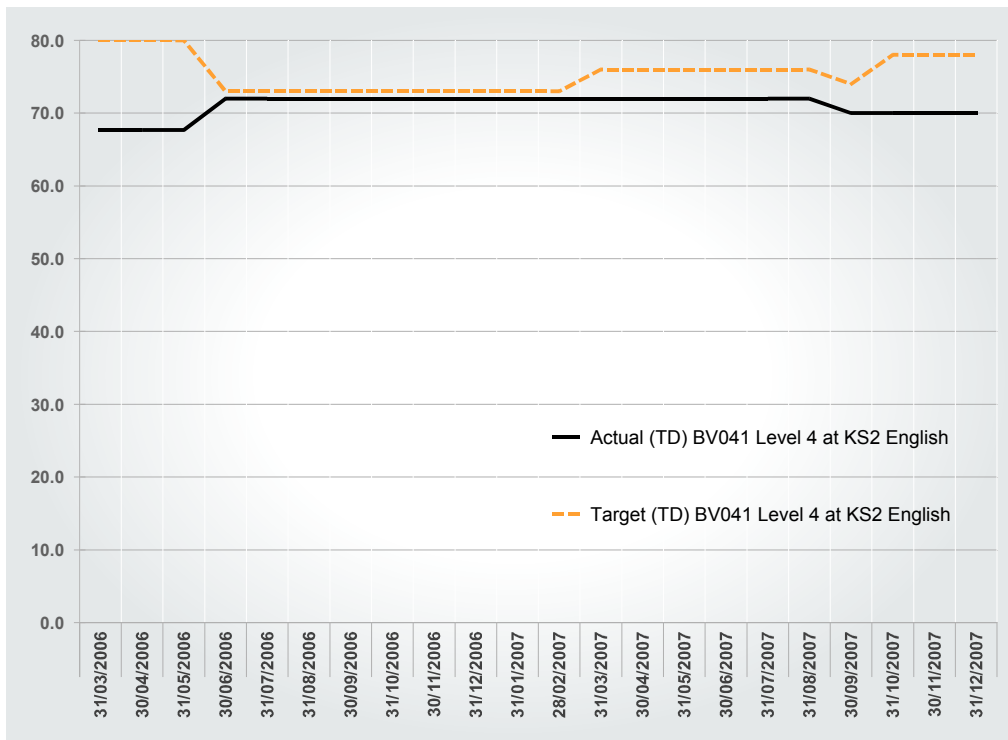
Children and Young People

- 4.17 **BV040**: Key Stage 2 Maths Level 4+. Based on third quarter data our forecast is 72.0% and we are currently unlikely to achieve our 2007/08 end of year target of 76.0%.
- 4.18 Final year target 07/08 of 76% has not been achieved. Unvalidated data shows that for Mathematics the percentage of pupils achieving Level 4 + is 69%. It is expected that this will be 70% on final publication of data. FY 08/09 uses the academic year 07/08. Pupils currently in year 6 are working towards this. Data at this stage of the year shows that currently we are likely to achieve 72%. Pupils are being targeted to raise this figure.



- 4.19 **BV041**: Key Stage 2 English Level 4+, has declined during the third quarter to 70.0%. Our forecast for 2007/08 is 72.0% and we are unlikely to achieve our end of year target of 76.0%.

4.20 Final year target 07/08 of 76% has not been achieved. Unvalidated data shows that for English the percentage of pupils achieving Level 4 + is 70%. It is expected that this will be 72% on final publication of data. FY 08/09 uses the academic year 07/08. Pupils currently in year 6 are working towards this. Data at this stage of the year shows that currently we are likely to achieve 73%. Pupils are being targeted to raise this figure.



4.21 **BH1a:** Rate of teenage conception per 1,000 population, low is good. Quarter 2 data for 2006 has recently been received and the quarterly under-18 conception rate is 61.5, which is 105 conceptions for that quarter. Quarter 1 data for 2006 is now 46.2, which is 79 conceptions for that quarter. This rate provides a more timely indication of local conception trends than the annual data, which are only released in February each year. Annual data for 2006 will be released in February 2008. Based on quarter 2 2006 data and increasing rates it is looking highly unlikely that the 46.3 expected trajectory figure for 2006 will be achieved. Teenage Pregnancy National Support Team visited and assessed Leicester's Teenage Pregnancy & Parenthood Partnership in October 2007 and the report is being led by the newly formed Teenage Pregnancy Executive Group and Teenage Pregnancy Partnership Board to accelerate progress and improve local delivery.

4.22 **EA3:** % of Foundation Stage children (apart from those living in Sure Start areas) achieving good or better in Personal, Social and Emotional Development (PSED) scales. Our projection for 2007/08 is 63.0% based on third quarter data and we are unlikely to meet our end of year target of 76.0%.

4.23 The Final Year 07/08 figure is the final figure as it is based on results collected in June 2007. The basis for this figure is on the percentage scoring 6 or more in each of the three areas of learning in the PSE scales. The initial measurement was on the

percentage of pupils achieving 18 points or more totalled across the four areas of learning.

- 4.24 **EA5:** Foundation Stage inequality gap – Communication, Language and Literacy (CLL), low is good. Our 2007/08 forecast for this indicator is 11.60% and we are currently unlikely to meet our end of year target of 7.0%.

CHART NOT AVAILABLE

- 4.25 The Final Year 07/08 figure is the final figure as it is based on results collected in June 2007. The basis for this figure is on the percentage scoring 6 or more in each of the four areas of learning in the CLL scales. The initial measurement was on the percentage of pupils achieving 24 points or more totalled across the four areas of learning. The difference between the sure start and non sure start areas provides the target. This has reduced but not sufficiently.
- 4.26 **EA23:** Looked After Children (LAC) – Key Stage 2 English and Maths Level 4+ (compared to peers) (OC2). Our 2007/08 forecast is 47.0% and we are currently unlikely to meet our end of year target of 60.0%.

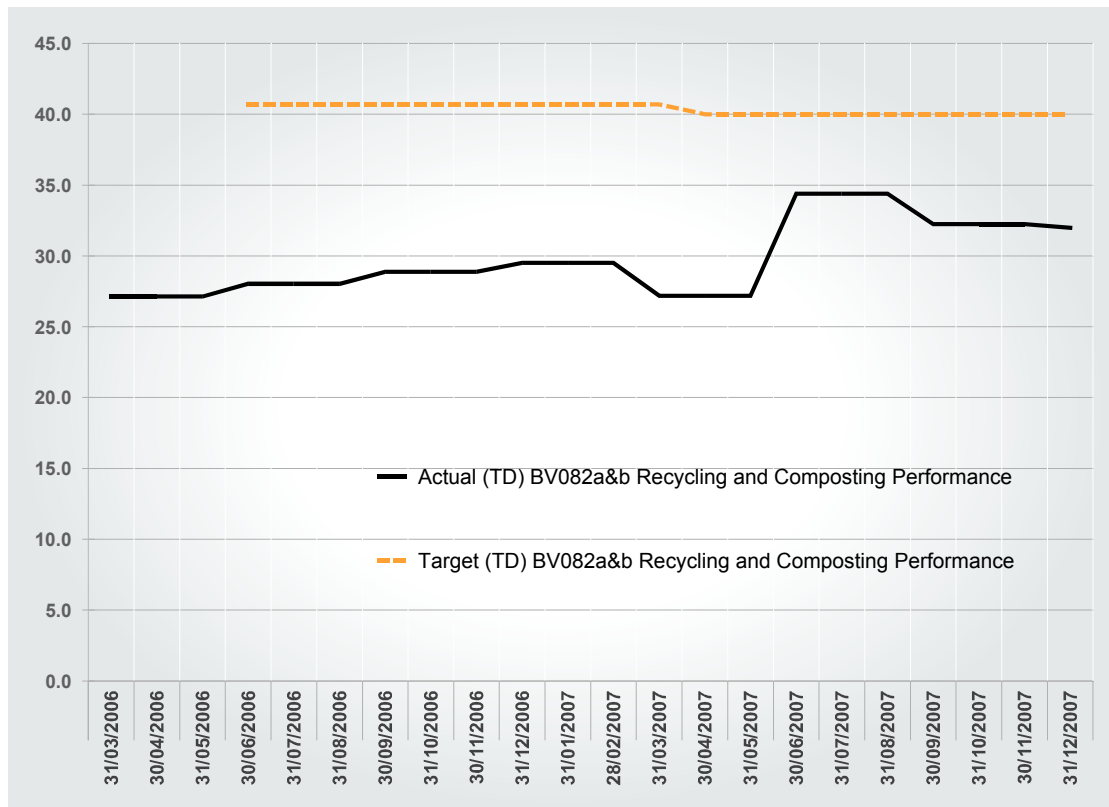
CHART NOT AVAILABLE

- 4.27 The OC2 Return which captures the data used for this indicator was signed off in 30 November 2007. The forecast above is based on provisional figures of 36% of the cohort of 14 year 6 children identified as remaining in care for 12 months from October 2006 to September 30 2007 and achieving level 4 in English and maths. The final indicator is presented as a percentage of the total cohort achieving level 4.

Environment

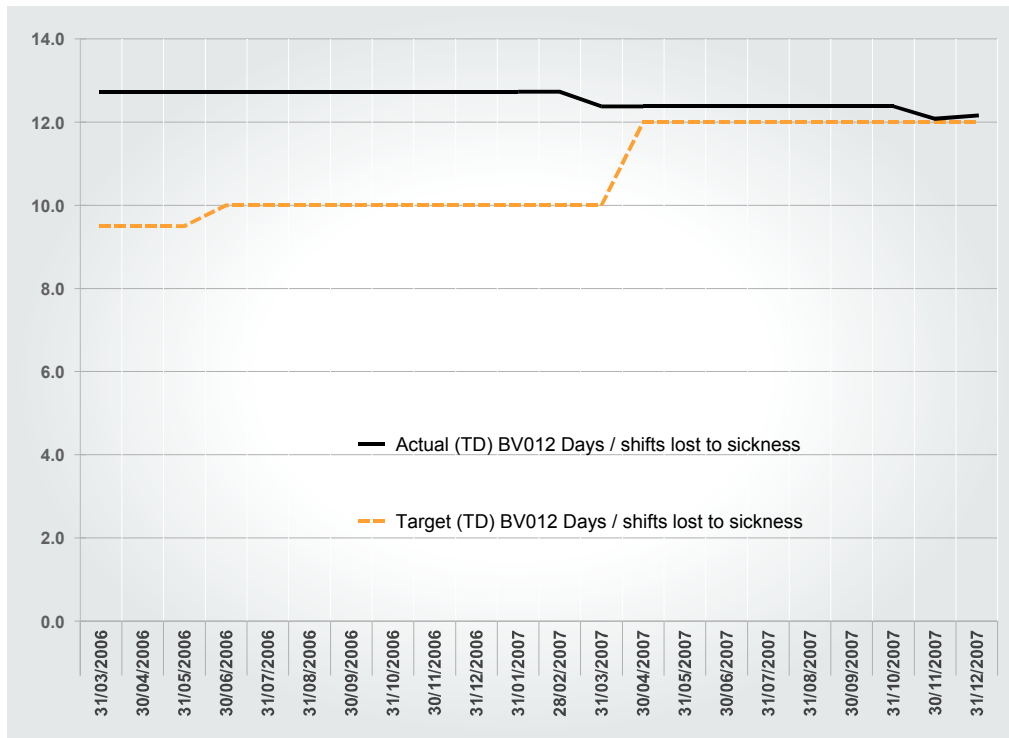
- 4.28 **BV106:** Percentage of Brownfield sites used for housing, has declined to 63.0% based on period April to November 2007. The 2007/08 end of year target is 70.0%.
- 4.29 This CPA indicator has fallen below its local target however, for CPA there is no lower threshold so the level of performance does not impact on the CPA Environment Block score.
- 4.30 Data shows performance from April to November at 63%, below the target of 70%. Performance has dropped due to a faster rate of housing completions at suburban greenfield sites such as Hamilton and Glenfrith. Construction rates tend to be quicker and less problematic on greenfield sites where completions are recorded on an individual plot basis. Conversely, developments on inner city brownfield sites, especially high-density apartment schemes, generally take longer to build and completions are not recorded until the whole block or phase is completed. The City Council does not have any control over actual development rates, we can grant planning permission on brownfield sites but cannot influence development take-up.
- 4.31 The Corporate Director Regeneration and Culture has been asked to note the situation and continue with monitoring but that no additional action is required.

- 4.32 **BV82a and b E6:** Total tonnage of household waste arising - % recycled and composted, has declined during the third quarter to 31.98%. Based on third quarter data we will not meet our 2007/08 end of year target of 40.0%.
- 4.33 Whilst performance is well above the CPA upper threshold, these indicators remain below local targets this quarter. The Division is making arrangements to ensure that targets are not compromised in 2008/9.



Resources

- 4.34 **BV12:** Number of days lost to sickness per employee. Based on third quarter data, our year end forecast for 2007/08 is 12.16 days, which suggests we may not meet our unofficial internal target of 10 days. This also represents a slight rise on the figure forecasted at 6 months, which was 12.08.
- 4.35 The new forecast is based on using the latest 3 month sickness absence figures (covering Oct - Dec) and adding them to the 9 month actual figure. This is the most accurate measure of forecast currently possible, as we do not have 9 month comparator from a previous year. The number of days lost to sickness per employee generally goes up during the winter period because of a higher reported incidence of seasonal colds and flu, etc.

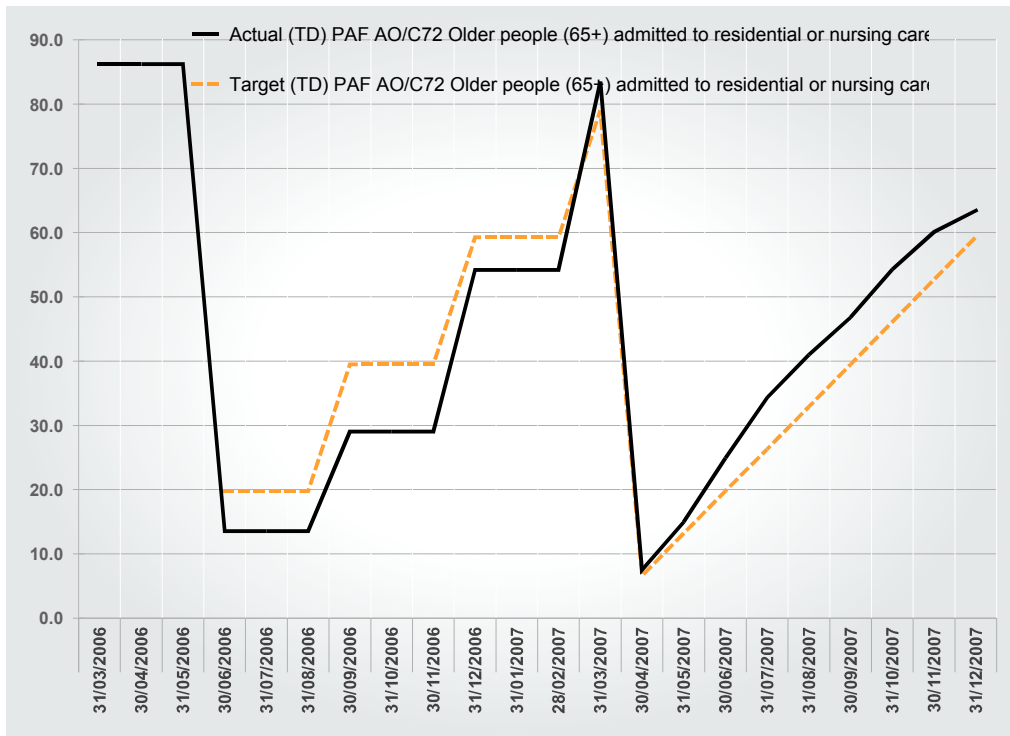


- 4.36 Corporate Directors now receive quarterly reports on sickness absence. Cabinet leads are regularly briefed on performance and a Member Project Board will oversee the future development and implementation of agreed actions. A draft strategy is currently being prepared for consideration by Members.

Social Care (Adults)

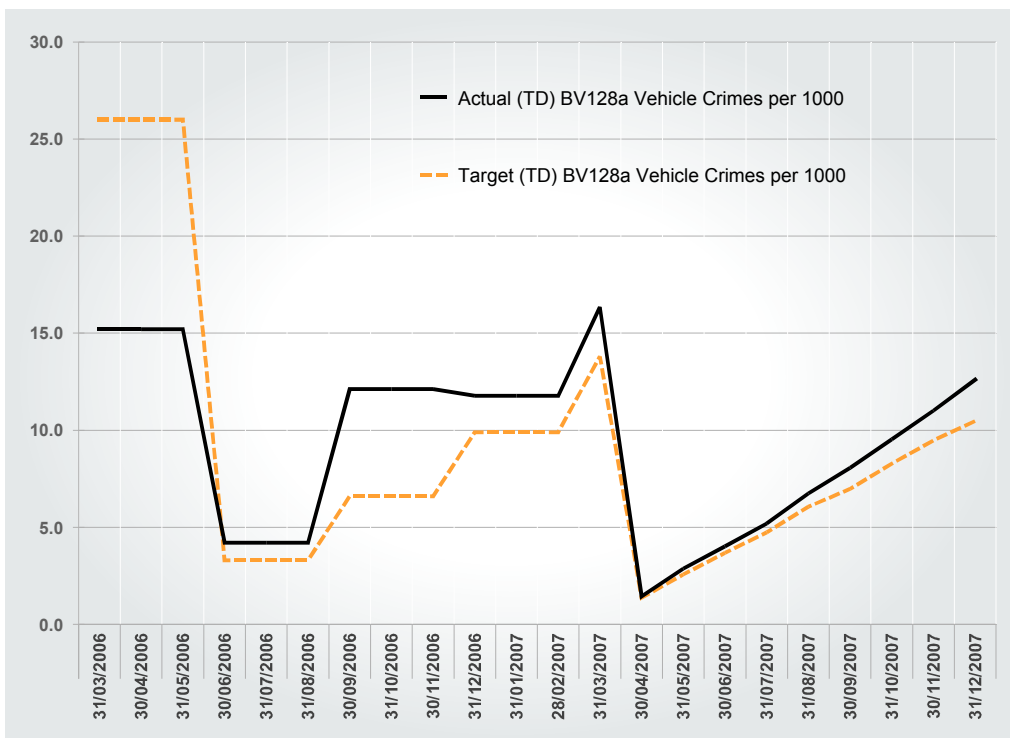
- 4.37 **PAF C72:** Number of older people aged 65+ admitted on a permanent basis in the year to residential or nursing care (per 1000 population) (low is good), has declined from its 2006/07 end of year position of 83.5. At the end of the third quarter 2007/08 the projected year end position is 84.6. Performance is unlikely to meet the 2007/08 end of year target of 79.0.
- 4.38 The change in the supply of rehabilitation beds has led to an increase in demand for residential care, which in turn has impacted on this indicator. The Primary Care Trust and University Hospitals Leicester have been working to improve this position and the supply of rehabilitation beds has now improved. We are pleased that our performance within this indicator has remained stable during December (a particularly busy month of the year).
- 4.39 Service managers are aware of targets for their service areas and are monitoring all requests for residential care extremely closely to ensure that all other options are considered before a residential placement is agreed. We remain on course to admit the same number of older people to residential care as were admitted in 2006-07. Given the system pressures from earlier in the year, this can be viewed as a positive outcome.

4.40 It is not felt that additional resources will help in boosting performance in the short term.



Community Safety

4.41 **BV128:** Vehicle crime per 1,000 population (low is good), has increased during the third quarter of 2007/08. The year end projection is now 16.82. Based on third quarter data we are unlikely to achieve our 2007/08 end of year target of 14.55.



- 4.42 The target for vehicle crime is an 11% reduction; this target is the same as the theft from vehicle and theft of vehicle target for Safer Leicester Partnership.
- 4.43 There has been an increase of 7.8% (264 more offences) in vehicle crime between April – December this year than last year. The actual rate for December is much higher than the forecast.
- 4.44 The theft from motor vehicles Christmas campaign targeting drivers coming in to the City centre over December is running into March. There have been advertisements placed on 14 taxis through out the city and will continue to be shown on taxis into February. Car park wardens and parking wardens have been linked on to the city watch radio net scheme and talking MP3 players have been installed on pay and display machines at Victoria Park.

5. Key Financial and Legal Implications

Financial Implications

- 5.1 There are no direct financial implications arising from this report. It should be noted, however, that in areas where performance needs to be improved there might be a requirement for some additional funding, or to realign budgets to reflect priorities. Any proposals for funding not already included within each department's base budget for 2007/08 will be subject to the virement constraints encompassed within the Council's budget framework and in accordance with the relevant decisions of Council on virement thresholds and controllable budget lines.

(Andy Morley, Chief Accountant, Resources.)

Legal Implications

- 5.2 There are no legal implications arising from this report.

(Peter Nicholls, Head of Litigation, Resources).

- 5.3 Other implications:

Other Implications	Yes/No	Paragraph References with Supporting Information
Equal Opportunities	Yes	No specific reference
Policy	No	No specific reference
Sustainable and Environmental	Yes	No specific reference
Crime and Disorder	Yes	No specific reference
Human Rights Act	No	No specific reference
Elderly People on Low Income	Yes	No specific reference

6. Background Papers

- Local Government Act 1972
- Audit Commission National Data (www.audit-commission.gov.uk/cpa)
- Data from Leicester's Performance Management System

7. Consultations

- Corporate Directors Board 4th December 2007.
- Heads of Policy and Performance.
- Performance Management Group.

8. Report Author

Colin Herridge
Policy Officer
Partnership Executive Team
Tel: (0116) 252 6791
E-mail: colin.Herridge@leicester.gov.uk

Key Decision	No
Reason	N/A
Appeared in Forward Plan	N/A
Executive or Council Decision	Executive (Cabinet)

Appendix 1

Service block Projections third Quarter 2007-08

Service Block	Star rating for CPA 2005	Star rating for CPA 2006	Forecast using Qtr 1 data CPA 2008	Forecast using Qtr 2 data CPA 2008	Forecast using Qtr 3 data CPA 2008
Corporate Assessment	3	3	3	3	3
Use of Resources	3	3	3	3	3
Children & Young People	3	3	3	3	3
Social Care (Adults)	3	3	3	3	3
Housing	3	3	3	3	4
Environment	3	3	4	3	4
Culture	3	3	3	3	3
Benefits	3	2	3	3	3
Overall CPA Scoring	4 stars	3 stars	4 stars	4 stars	4 stars

Service block Projections are based upon the:

- Corporate Assessment score at the last assessment, which was in 2002 (Corporate Assessment and Joint Area Review are in progress at time of writing this report).
- Forecast score for the Use of Resources, Children & Young People and Social Care (Adults) service blocks advised by departments, given the complex of the scoring mechanism.
- Benefits service block was scored using the Benefit Performance Standards.
- PI performance for the Housing, Environment and Culture service blocks, analysed using the latest Audit Commission Service Assessment Framework (August 2007).

Appendix 2 – Key Corporate Risks

CORPORATE RISKS			
Category	Description	Risk Control Measures	Responsible Director
1 Risks associated with strategic leadership			Rodney Green
TRANSFORMATION	Insufficient capacity and skills to deliver the service transformation agenda	Board to satisfy itself that adequate change management resources are available to support delivery of the service transformation programme.	Rodney Green
BUSINESS PLANNING	Council fails to achieve the Corporate Plan objectives and modify Department Service Plans in the light of operational issues and changing priorities	Board to establish and maintain a process for monitoring key deliverables in Department Service Plans. This may flow naturally from the Chief executive's performance management meetings with Directors.	Rodney Green
MANAGEMENT CAPABILITY	Council does not obtain the best value and results from its staff or have the right staff with appropriate skills and experience to support delivery of the Council's objectives.	Board to introduce core management training programme for Senior staff as part of the introduction of the Single Status Agreement.	Ian McBride
ACCOUNTABILITY	Local management use their discretion to apply inconsistent processes and interpret Corporate Procedures, perpetuating varying standards across business units	Board to monitor the completion of the E-Handbook and incorporate compliance monitoring as part of the annual Corporate Governance review process.	Tom Stephenson Peter Nicholls
SUCCESSION PLANNING FOR ALL KEY POSITIONS	Council becomes ineffective in key areas, and ongoing delivery of essential services and new strategies are threatened	Board to establish a policy for succession planning and its application, maintain a key persons log of key posts critical to the Council, maintain an up to date plan for their replacement	Ian McBride
VALUING STAFF & PERFORMANCE	Sick absence levels and lowered staff morale challenge willing staff who perceive that those who do not deliver good work are treated equally	Board to oversee delivery of revised HR procedures currently in production.	Ian McBride

CORPORATE RISKS			
Category	Description	Risk Control Measures	Responsible Director
INDUSTRIAL RELATIONS	Council fails to cover for significant staff shortage as a result of a breakdown in its communication with unions	Board to require a routine update of all issues that are or could give rise to a dispute	Ian McBride

2 Failure of central ICT Services			Tom Stephenson
CURRENT LOCATION	Major disruption to the council's critical business activities as a result of failure of central ICT operations. This is a risk associated with the present operating environment	Board to approve the ICT operational update plan quarterly which addresses progress and emerging issues for the maintenance of a safe and resilient ICT environment	Jill Craig
ICT DISASTER RECOVERY PLAN	Disaster Recovery plan does not enable rapid restoration of ICT services	DB to regularly review the results from testing of the Disaster Recovery Plan	Jill Craig
3 Significant financial loss or significant unplanned expenditure			Mark Noble
FRAUD or OTHER FINANCIAL LOSS	Local managers use their discretion over management of funds which leads to misuse or ineffective use of Council finances	CFO to revise current Financial Administration Procedures to provide clear and simple messages and guidelines as part of the RMS project. Revise the Anti-Fraud and Corruption Policy and implement procedures to support the creation of strong anti-fraud culture.	Mark Noble
PROCUREMENT	EU withdraw funding or penalise the council for procurement infringement or liabilities accepted under contract place council at significant risk	Board to ensure the work to improve contract management is implemented.	Peter Nicholls

ACCOUNTING	Confidential personal financial data held is compromised or Council funds mismanaged locally	CFO to instigate robust systems of check to identify and address system hacking, adherence to PCI and other external financial Standards and management of imprest accounts	Mark Noble
FUNDING WITHDRAWAL, PENALTIES, AWARDS & UNINSURED LOSSES	Council attracts significant penalty or suffers uninsured loss or claw back of funds	CFO to report regularly to the Board (as part of the budget monitoring process), unusual budget pressures caused by failure to comply with the law or other conditions. Grants and funding over £1m to be included in Budget Monitoring Report	Mark Noble

4 Loss of access to key premises or injury from access to premises.			Tom Stephenson
PROPERTY PORTFOLIO MANAGEMENT	Poor coordination and management of the Council's property portfolio leads to injury and/or legal action; and /or significant property damage	Board to review the strategic approach to property management as the next stage of the current service transformation programme	Lynn Cave
REGENERATION	Regeneration projects that involve new Council buildings are significantly delayed, or are implemented with significant budget overspend (see also project control below); and without reference to the Council's quality standards and ongoing maintenance funding.	Board to ensure that new projects have adequate project management and client arrangements in support.	Andy Keeling
5 Major projects			Andy Keeling Mike Forrester Sheila Lock Tom Stephenson
PROJECT CONTROL	Major projects not completing on time or with significant budget overspend	Board to regularly review risk logs of all major projects with immediate effect; and current issues from the new Portfolio Management Office (when fully operational).	Lynn Cave
6 Partnership withdraws significant funding or fails to deliver anticipated services			Keith Murdoch
ACCOUNTABLE BODY	Mismanagement or misuse of Council funds by a Partner or Council staff for which the Council is the Accountable Body	CFO to present a regular report of significant issues in the use of partnerships as part of the budget monitoring process.	Mark Noble

PARTNER STABILITY	Partners withdraw significant funding	Board to receive regular reports on our involvement with partnerships, and associated risks.	Keith Murdoch
PARTNERSHIP MANAGEMENT	Partnership conflict, joint policies fail to gain outcomes or exploit opportunities that properly support the Community Plan	See above	Keith Murdoch
7 Failure to meet key compliance criteria lain down by Government			Peter Nichols
CPA	Reduction in CPA rating by the Government	None needed	Rodney Green
OFSTED	Failure to attain overall improvement in education standards	Board to regularly review the current performance indicators against targets for the improvement of education.	Sheila Lock
8 Loss of stakeholder confidence			Rodney Green
CORPORATE ACCOUNTABILITY	Corporate Manslaughter charge lodged against the Council	Board to require a routine assurance statement from H&S on all areas of the Council where there is a significant exposure to staff, pupils, visitors, members or the public to injury or death as part of a regular monitoring report.	James Royston
GOVERNANCE	Identified gaps and weaknesses exposes the Council to significant financial loss, penalties, or legal action	Board to monitor implementation of audit recommendations contained in the Head of Audit's routine report	Laurie Goldberg
COMMUNITY	Breakdown of community relations	Board to review Cabinet decisions to identify potential impact on the community consider them and report back to the Cabinet where there are financial and operational implications	Rodney Green and Directors' Board
9 Response to a major event adversely affecting the Council, its employees, the people in its care, or the people of Leicester			Rodney Green

CRISIS RECOVERY	Insufficiently prepared management leads to disorder in the rapid restoration of business critical-activities and the control of the Emergency Plan	All Members of the Senior Management team to undertake a role in either a Corporate Business Continuity Team or act as an Emergency Controller for which they are suitably trained	Rodney Green
		Board to review an annual report on the testing of Emergency and Corporate Business Continuity Plans and review the Council's Communication Strategy annually and challenge its effectiveness	Charles Poole
SIGNIFICANT OPERATIONAL RISKS			Rodney Green
IN-HOUSE TRANSPORT FACILITY	Security/safety failure at Sulgrave Road may jeopardise the council's ability to provide transport service for schools, meals on wheels and other essential users	Board to approve changes to the provision of passenger transport to include vehicle safety, logistics, access and potential for total loss of vehicles.	Simon Sadler
CITY-WIDE FLOODING	Exposure to claims against the Council arising from serious flooding in City	Board to approve measures to improve current drain clearing facilities and processes to include changes to current level of provision and adequate 24/7 services support.	Jeff Miller
HOUSING BENEFITS SYSTEM	Council is vulnerable to further significant failures in the IBS system for the management of housing benefit	Board to agree to the implementation of additional equipment and software to provide an adequate level of resilience and back up; with alternative suppliers sought for modules that give cause for concern	Mike Forrester
PREMISES SECURITY	Exposure to Corporate Manslaughter in the event that security failure results in injury/or death	Board to instigate a consistent policy for the control of security at all Council premises, as part of a strategic review of Property	Tom Stephenson
RESOURCE MANAGEMENT SYSTEM	Specification and fitness for purpose of the Resource Management System fails to meet objectives of the Business Improvement Project	Board to design the programme for transformation to support the reorganisation prior to the introduction of a technical solution across the Council	Tom Stephenson
BSF - FUTURE PHASES	BSF Project - future phases expose the Council to significant additional cost	Board to approve a plan for future phases of BSF consider fully the risks and financial implications prior to the approval of future phases.	Sheila Lock
		BSF to be a key feature of reports from the new programme management function (described above)	Sheila Lock