

Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Andy Keeling, COO

Date completed: 31/01/19

RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE WITH EXISTING MEASURES			FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE WITH FURTHER ACTIONS/ CONTROLS REQUIRED			COST	RISK OWNER	TARGET DATE
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<p>1. FINANCIAL CHALLENGES The Council fails to respond adequately to the cuts in public sector funding over the coming year or years.</p>	<p>- Council is placed in severe financial crisis. Reputational damage to the Council and substantial crisis job losses. If the process is not properly managed, the Council will have little money for anything but statutory 'demand led services'</p>	<p>- Budget balanced in 18/19 and draft budget for 19/20 prepared and balanced. Spending review 4 programme underway and previous spending reviews largely complete. - Further work required to balance the medium term, particularly driving the spending review programme - £6m service transformation fund</p>	5	4	20	<p>- Heavy involvement of City Mayor and COO in ensuring spending review programme delivers. - Appropriate change management/ project management arrangements to be put in place for major review areas. - Delivery of spending review 4 - Sign off for 2019/20 budget</p>	5	3	15		Andy Keeling / Alison Greenhill	31/03/2019/2020 and On-going
<p>2. STAKEHOLDER ENGAGEMENT The Council fails to maintain effective relationships with stakeholders (partners, neighbouring Councils, NHS etc.). Key partners and stakeholders fail to support the council in delivery of its strategy as a result of tensions and strained relationships due to financial and other pressures. Council fails to identify tensions arising in the city (particularly as the financial challenges impact on communities) leading to unrest in specific communities/areas of the city.</p>	<p>- Failure of local agreements and stakeholder arrangements to deliver agreed levels of performance, the impacts of which may reflect negatively on the Council adversely affecting its reputation. - Potential litigation where it impacts on formal contractual relationships. - Financial risk if Integration Transformation Fund plans are inadequate or not agreed. - Partnership working will be an expensive bureaucracy and fail to add value to improving outcomes for the citizens of Leicester. - Reputational damage to the Council/City from the perspective of stakeholders. - Partnership working fails to take into account the needs of all communities.</p>	<p>- Mechanisms in place for regular dialogue including formal partnerships e.g. Health and Wellbeing Board. - City Mayor Faith and Community Forum in place to engage specifically with faith and non-faith communities and Oct 2018 Forum meeting evaluated approach to date of the Forum. - Arrangements for engagement of, and support to, the Voluntary Community Sector (VCS) have been commissioned and contracts are in place. - Specific Executive Members have clear objectives around partnership working in their portfolios, for example working with the voluntary and community sector is reflected in the portfolios for the Assistant City Mayors for Communities and Equalities, and for the Voluntary and Community Sector. - Close involvement of City Mayor and Members in key partnerships.</p>	4	3	12	<p>- Regular review and evaluation of the current position by Strategic Management Board. - Review of existing arrangements and contract for VCS engagement and support will be part of spending review 4 - Key aspects of partnership working being reviewed and updated in the light of Ofsted findings e.g. LSCB</p>	4	2	8		Miranda Cannon / All Strategic Directors	31/03/19 and ongoing

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<p>2. STAKEHOLDER ENGAGEMENT (Continued) If stakeholder engagement is not robust and effective but is critical to the delivery of the Council's priorities, statutory duties etc., these may not be delivered. An example of such is the need to have a continuing, productive partnership relationship with Clinical Commissioning Group which is particularly important in light of the importance for Adult Social Care of the Better Care Together Fund.</p>	<ul style="list-style-type: none"> - There is no common vision or consensus across key partners in the City and therefore the work of individual organisations pulls in different and potentially conflicting directions. - Places a strain on resources and services to manage. - Partners are present round the table but are not collectively owning the agenda or taking on board the responsibilities and actions that arise therefore undermining the approach - Public health and wellbeing may be impacted or the quality of the service delivered to the Public is insufficient, which could cause harm. 	<ul style="list-style-type: none"> - The Council/ Police have a Community Gold meeting which meets approx. once a month and includes Local Policing Unit commanders, the Basic Command Unit commander and council officers from Leicester Anti-Social Behaviour Unit, youth services, community services. This tracks and agrees joint actions to address any known tensions in communities. This is supported by a shared system between front line officers from the police and the council to track community tension. Community joint management group now in place which creates a regular conduit for engagement with community leaders. 										
<p>3. CYBER RISK - Loss or compromise of IT systems and/or associated data through cyber security attacks</p>	<ul style="list-style-type: none"> - Potential financial or reputational damage to Council. - Potential Data Protection breaches. - Fines - Service delivery affected 	<ul style="list-style-type: none"> - Ensure close monitoring of existing perimeter and internal security protection. - Continue working on staff awareness and training 	5	5	25	<ul style="list-style-type: none"> - Currently out to market for a Security and Incident Event Management service. - IT Security Manager appointed and will be in post August 2018. - LRF have identified cyber security as a significant risk and are looking to support around awareness raising and business continuity / response planning 	4	3	12		Andy Keeling / Alison Greenhill	31/03/19 and ongoing

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<p>4. BUSINESS/SERVICE CONTINUITY MANAGEMENT</p> <p>Unforeseen unpredictable events such as flood, power/utility failure etc. could impact on the council's assets, communication channels or resources etc.</p>	<ul style="list-style-type: none"> - Insufficiently prepared management leads to disorder in the rapid restoration of business critical activities and the control of the emergency plan. - The wider risk environment increasingly makes 'resilience' a significant focus for all organisations. - Budget cuts and rationalisation may also challenge the ability of Category 1 responders (which LCC are) to fulfil their statutory duty. - Resource restraints means that there is limited staff to perform manual operations at the volume required in an event/incident. - Council is unable to communicate to stakeholders/deliver its services. - Reputational Damage - Vulnerable service users in danger as such users face loss of service. - Financial Impact - Impact on resources 	<ul style="list-style-type: none"> - All the Senior Management Team have roles in either the Corporate Business Continuity Management Team (CBCT) or are Emergency Controllers. - The Manager, Risk Management chairs the Multi-Agency Business Continuity Group. - All Business Critical Activities for the council are identified and named in the Corporate Business Continuity Plan (CBCP) - Critical Services BCPs are reviewed thoroughly and updated annually or as and when changes occur in service areas. These are then submitted to REBR who cast a critical eye on all these plans. - BCP Strategy and Policy tailored for the council in place to meet organisational needs. - Training offered corporately and a number of table-top exercises recently done for specific services - Risk Management/Insurance Services/REBR Team provide updates and lessons learnt on incidents to CBCT/Audit & Risk Committee as appropriate - Self cert annually by Directors to confirm BCPs in place for all service areas - CBCP which is reviewed annually but also updated as and when changes occur - Desktop review of the Corporate Plan by insurers confirmed it is a well written plan - Resilience Direct Secure Site (web based) holds CBCP and all Business Critical Activities BCPs (alongside emergency planning documentation) and is securely accessed by the CBCT - Communications on-call arrangements working more effectively and training run for all staff involved including LRF training/meet each on call officer individually for an annual half hour briefing - Review recently completed which has amalgamated emergency planning, risk management and business continuity to deliver one integrated function which in itself should be more resilient as a result - Assisting maintained schools on BC planning 	5	2	10	<ul style="list-style-type: none"> - Further embedding of business continuity management approach. - Further completion of Business Continuity tests. - Further communication/training and awareness for staff on continuity arrangements. Contingency planning training continues to be delivered to levels of management below the Corporate BCP and all staff. - Post review continue the work on closer integration of Business Continuity with Emergency Planning - Working towards an analytical approach in reviewing the number of Business Critical Activities and to reduce them to ensure recovery from an incident is more efficient and effective 	4	2	8		Miranda Cannon	31/03/19 and ongoing

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<p>5. INFORMATION GOVERNANCE Information Governance/Security/ Data Protection policies/procedures/ protocols are not followed by staff and members.</p>	<ul style="list-style-type: none"> - Major loss of public confidence in the organisation. - Potential litigation and financial loss to the Council. - Reputational damage to the Council. - With data held in a vast array of places and being transferred between supply chain partners, data becomes susceptible to loss; protection and privacy risks. - Reduction in the capacity/capability to retain such data. This could also be costly. - Excessive retention of data can still be requested through a Freedom of Information Act if retained. - Council may not share data with the appropriate individuals/bodies accurately, securely and in a timely manner. - Council fails to adequately secure/protect confidential and sensitive data held. - Possibility of not being compliant with new data protection legislation (GDPR, Data Protection Act 2018) 	<ul style="list-style-type: none"> - Clear policies and protocols in place. - Staff have been trained and made aware of the Council's policies and procedures. - Secure storage solutions are now in place. - Paper retention has been reduced through the introduction of scanning etc. - Mandatory e-learning module for staff - Monthly reporting of incidents to Directors in place - GDPR action plan implemented and regularly reviewed 	4	3	12	<ul style="list-style-type: none"> - Clear and on-going communications to staff to reinforce policies and protocols. - Regular review and monitoring of arrangements across services by Service Managers supported by Information Security/Governance Teams. - Ensure that the policy in place around the management of electronic data and disposal of data is in the awareness of staff - Ongoing review and updating of appropriate information sharing agreements. - Information asset registers, Privacy Notices, policies & procedures and contract clauses reviewed in light of GDPR - GDPR training available across the Council - Data Protection Officer appointed 	4	2	8		Andy Keeling	31/03/19 and ongoing

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<p>6. COMPLIANCE WITH REGULATION, POLICIES, PROCEDURES HEALTH AND SAFETY ETC</p> <p>Local management use discretion to apply inconsistent processes and misinterpret Corporate policies & procedures, perpetuating varying standards across business units.</p> <p>The City Council fails to respond effectively to the requirements of Health and Safety Executive/Government proposals and/or legislation which places health and safety responsibilities on local authorities.</p>	<ul style="list-style-type: none"> - Places the organisation at risk e.g. fraud, data loss etc. Potential financial losses / inefficient use of resources. - Possibility of serious injury or death of member of staff or service user/members of the public. - Failure to meet statutory responsibilities. - Reputational damage to the Council. - Negative stakeholder relationships - Potential for increase in the number of insurance claims 	<ul style="list-style-type: none"> - Day to day management of Health and Safety responsibility rests with the Operational Directors and their Heads of Service. Corporate Health and Safety team available to assist. - Risk is reported and controlled through Divisional Directors Operational Risk Registers (presented to the CMT and the Executive each quarter and reported twice yearly to Audit and Risk Committee) and these are underpinned by registers at Heads of Service level reviewed and discussed at Divisional Management Teams quarterly. - Regular inspections and reports by the Health and Safety team with all actions being followed up within a reasonable time. Close involvement of Trade Unions in monitoring and reviewing Health and Safety. - A process of more regular reporting to Corporate Management Team on health and safety matters has been established via the quarterly risk management reports - Work is well advanced on reviewing absence management with agreed actions being focused on to seek to address this particularly in terms of stress and musculo-skeletal absence which are the top causes. In addition CMT approved a new employee Health and Wellbeing framework and action plan which will further support the work to reduce absence and deal with key issues such as work-related stress. New Mental Health training has been piloted and is being rolled out. - Current corporate equality strategy and action plan approved by Council in June 2018 which supports the Council in ensuring it meets the requirements of the Equalities Act 2010 and the Public Sector Equality Duty. Action plan is monitored quarterly - Draft process to be finalised and rolled out in relation to officer decisions to ensure compliance with the relevant legislation. 	4	3	12	<ul style="list-style-type: none"> - Continue to review and reinforce key standards and policies via regular communication. - Ensure Managers are appropriately trained and requirements are clearly set out in Job Descriptions and reinforced via appraisals. - Ensure Internal Audit findings are acted on in a timely manner. - Continue to refine and improve strategic monitoring and reporting in relation to Health & Safety to ensure responsibilities are reinforced from the top. 	4	2	8		Kamal Adatia / Miranda Cannon	31/03/19 and ongoing

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7. SAFEGUARDING Weak Management oversight of safeguarding processes in place leads to the Council failing to adequately safeguard vulnerable groups e.g. children and young people, elderly, those with physical and learning disabilities.	<ul style="list-style-type: none"> - Death or serious injury. - Serious case reviews initiated. - Reputational damage to the Council. - Citizens lose confidence in the Council. - Negatively impacts on relationships with stakeholders. - Impacts severely on staff morale - Leads to high turnover of social workers and managers. 	<ul style="list-style-type: none"> - Safeguarding Adults and Children's Boards in place. - Regular reviews of policies/procedures and close supervision of staff. - Range of quality assurance processes exist within the Divisions. - Range of developments, including corporate training, exist within the Divisions to manage, support recruit and retain staff. - Improvement Board established following the Ofsted inspection and other arrangements e.g. Performance Board set up - 24/7 Duty and Advice Service in place - Single assessment team in place which has resulted in a reduced caseload and more timely intervention 	5	3	15	<ul style="list-style-type: none"> - Board performance and framework development. - Chair of Board has direct accountability through Chief Operating Officer. - Regular bi-annual meetings with Mayor and Adults and Children's Lead Members. - Full implementation of all necessary improvements identified via the Ofsted inspection of Children's Services - overseen by Improvement Board and Independency Chair - Performance framework in place across Children's - positive progress highlighted in recent Ofsted reports - Version 11 of Liquid Logic implemented successfully 	5	2	10		Steven Forbes	31/03/19 and ongoing
8. SCHOOL IMPROVEMENT	<ul style="list-style-type: none"> - Poor OFSTED outcome for schools - Increased risk of schools going into category of special measures - Poor outcome for Local Authority if inspected under the OFSTED framework for LA School Improvement effectiveness 	<ul style="list-style-type: none"> - Revised desk top analysis to identify potential underperformance in individual schools and settings - Revised School Improvement Framework - Regular reporting to DMT and LMB on schools causing concern and targeted work - Self evaluation against OFSTED framework for inspection completed - At risk schools discussed and warning notices considered - Inspection file being collated to evidence effective and good practice in targeted work with schools. - Working with most schools in the Primary sector to establish a school improvement strategy based on a school-led system and a collaborative approach to school improvement. - All schools encouraged to carry out a safeguarding audit – some schools , considered "at risk" and/or near inspection targeted directly via the head and governors to carry out an audit in the Spring term of 2019. Reports from schools sent to the SI team for scrutiny - Continue to explore traded services with schools where service budgets do not allow for the same levels of support as previously 	4	3	12	<ul style="list-style-type: none"> - Targeted visits by Director of Learning - Revised support packages - Single plan implementation for RI schools - Local Authority Reviews of individual schools to be negotiated - Preparation for inspection to include briefing to all schools. - Review induction process for new heads. - Review financial controls on maintained schools 	4	2	8		Paul Tinsley	31/03/19 and ongoing

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<p>9. CIVIL CONTINGENCY RESPONSE/INCIDENT RESPONSE</p> <p>Council resources may not be adequate or sufficient to respond should an external incident/disaster occur (for example, the impact of climate change leading to floods placing responsibility to the Council to house evacuees from other counties/areas) .</p>	<ul style="list-style-type: none"> - An increase in inclement weather (flood, heat, waves, drought, windstorm, increased snow fall etc.) building the right infrastructure and new statutory flood and water risk management duties. - Having sufficient financial resources and flexibility to address these challenges becomes increasingly difficult. - Having sufficient assets/contingency arrangements. - Lack of resources could lead to inadequate response . - Impact on the public's health and wellbeing, safety/housing needs etc. - Adverse impact on budget - Reputational impact - Death/injury - Potential for increase in the number of insurance claims - Negative relationships with stakeholders - Fail to meet statutory requirements - City Council fails to respond effectively to the requirements of Government proposals and/or legislation 	<ul style="list-style-type: none"> - Corporate Management of this is outlined in the Leicester Sustainable Action Plan action plan which covers all areas of management activity across the Council and its partners to reduce carbon. - Day to day management of climate change responsibility rests with the Operational Directors and their Heads of Service. - Risk is reported and controlled through the Divisional Directors Operational Risk Registers (presented to Corporate Management Team and Executive each quarter) and these are underpinned through regular reviews as part of the revised Eco-Management Audit Scheme (EMAS) system. - Local Resilience Forum (LRF) county wide partnering arrangement. - Leicester City Council (LCC) is part of the Resilience Partnership of local authorities in LLR. LLR Health Protection Committee coordinates health protection response across LA/PHE/NHS - LRF multi-agency flooding TCG exercise held at City Hall to test facilities here. Lessons learnt/debrief held. - City Council major incident plan reviewed and signed off. - Emergency control room fully equipped and operational at City Hall and provides a facility for both local management of emergencies and use by the LRF as a SCG venue. Tested on a number of large scale events e.g. LCFC victory parade and KR3 reinternment and specifically for LRF multi-agency TCG flooding exercise. - New logging system implemented to support major incident response and event management - Emergency management arrangements tested a number of times in 2018 as a result of major incidents e.g. Hinckley Road and LCFC helicopter crash and were found to be robust and effective. Debriefs undertaken and lessons learnt being implemented - Briefings provided to scrutiny on emergency planning and incident response to increase member understanding and awareness 	4	3	12	<ul style="list-style-type: none"> - Public engagement and city wide flood defence programmes are being developed jointly with the Environment Agency. This provides a two-pronged approach to manage the risk of severe flooding arising from climate change - LRF and Resilience Partnership arrangements continue to be reviewed - Robust schedule of plan reviews and training in place and agreed via the LRF - LLR-wide Health Protection Committee arrangements under review to provide assurance around management of health protection risks/ incidents and outbreaks - Continue to undertake full debriefs from any incidents and ensure lessons learnt and recommendations are acted upon. - Post May elections member development programme will include briefings on emergency planning for Councillors 	4	2	8		<p>Miranda Cannon / Ivan Brown</p>	<p>31/03/19 and ongoing</p>

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<p>10. RESOURCE: CAPACITY, CAPABILITY, RETENTION & DEVELOPMENT</p> <p>Lack of workforce planning and appropriate development of managers and employees leaves the Council exposed to service failure.</p> <p>The Council does not have the capacity/resilience in resources, should an event/incident occur, may significantly increase the demand on front line services.</p> <p>Changing market conditions gives rise to the council not being seen as first choice for employment as private sector may be perceived as offering better reward.</p>	<ul style="list-style-type: none"> - The Council does not have the right skills, behaviours and competencies in terms of the workforce to deliver the city's vision and priorities - The Council fails to maximise the potential of its key resource - Staff become demotivated/are under pressure which has an impact on productivity and delivery across the Council - Disruption to service delivery - Impacts on continuity of services. Creates risks in delivery because information on processes/procedures etc is lost - Service demands may not be met - Reputational damage - Financial impacts - Drain on resources - Potential reduction in controls being exercised and as a result, the business control environment is reduced - Potential exposure for fraud/irregularity - Impact on the Health and Wellbeing of the City - Council loses knowledge, experience and skills - Posts not filled with the right skills set/qualification/experience - changing market conditions may result in the Council being unable to recruit to specific posts or attract candidates of the right skill mix 	<ul style="list-style-type: none"> - Organisational Development Team (OD) working to develop their role and remit and engagement with the organisation - Organisational vision and values continued roll out - Active programme of work to support young people into employment and to utilise graduates, apprenticeships, work placements etc across the Council and to maximise the use of the apprenticeship levy. Significant numbers of graduates and apprenticeships in place within the Council - Digital Transformation programme includes a focus on developing the digital skills and competencies within the workforce. 	4	3	12	<ul style="list-style-type: none"> - An approach to workforce planning has been piloted and dashboards developed to support divisions. This is to be reported back to CMT and used to inform further what OD interventions and L&D activity and support is needed as part of the work of the OD Team - Continue the embedding of the vision and values across the organisation - Enabling our best work project on performance management has developed a framework for employee performance management and proposed leadership competencies to underpin management and leadership development and this is now being rolled out across LCC - Continue to identify opportunities to use apprenticeship schemes in targeted areas e.g. recent launch of new apprenticeship scheme in adult social care in partnership with Warwick University - New employer value proposition being developed which will feed into a fully modernised and competitive recruitment website to attract people to roles within LCC 	3	3	9		<p>Miranda Cannon / Craig Picknell</p>	<p>31/03/19 and ongoing</p>

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<p>11. COMMISSIONING, CONTRACT MONITORING, MANAGEMENT & PROCUREMENT</p> <p>Lack of robustness in contract management & monitoring protocols/procedures/controls and limited awareness/understanding of contractual risks by staff within the Council, particularly by those procuring for goods/services.</p>	<ul style="list-style-type: none"> - Reputational damage. - Financial impacts; not secure value for money and/or required service delivery. - Potential for challenge/litigation and fines being incurred with associated cost/resource implications - Contracts may not be adhered to. - Procurement processes may not be efficient . 	<ul style="list-style-type: none"> - Contract Procedure Rules in place along with associated guidance. - Policy that all procurement over a de minimis threshold should be carried out by one of the specialist procurement teams. - Professional procurement staff recruited and in post - Contract Risk Management training available from RMIS - Professional training for procurement staff (MCIPS) - Electronic tendering system in use - Procurement template documentation in use - Service Analysis Team to use work to date to inform major piece of work around commissioning and contract management' 	3	4	12	<ul style="list-style-type: none"> - Further review or Contract Procedure Rules to focus on greater efficiency - Training in procurement and contract management for staff across the Council - Enhanced engagement with local business to widen portfolio of potential suppliers 	3	3	9		Kamal Adatia	31/12/19 and ongoing
<p>12. ASSET MANAGEMENT</p> <p>That in advance of the imminent completion and adoption of the Council's strategic and corporate asset management plan that the condition of certain properties will deteriorate.</p>	<ul style="list-style-type: none"> - The council's assets may fall into disrepair losing income and increasing maintenance costs. . - Inability to optimise performance of the port folio. 	<ul style="list-style-type: none"> - Final Asset Management Plan - including lifecycle planning for schools will be embedded during mid 2018. UBB Programme now mainstreamed into EBS business as usual activity - A single corporate asset management system is now in place. - Central Maintenance Fund is available to address urgent repair items and Health 	5	4	20	<ul style="list-style-type: none"> - Continued development of effective planned maintenance programme across the estate- performance measurement in place to provide assurance regarding compliance-concerto being established and populated to work as the single corporate asset management system - Continue delivery of the UBB programme including disposal of assets - Creation of corporate property to group for a single part of management , review and escalation. 	5	3	15		Matt Wallace	31/03/19 and ongoing

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13. NATIONAL AGENDA/CHANGES IN LEGISLATION/ GOVERNMENT ETC On-going changes in government, legislation etc. gives rise to new demands and responsibilities with insufficient time for implementation and insufficient budget.	<ul style="list-style-type: none"> - Loss of income. - Services may not be delivered. - Reputational damage. - The budget may not be sufficient to deliver the expected service demand. - Statutory services. such as public health may be reduced and or the Council is unable to protect and safeguard the public, vulnerable individuals etc. - Implementation of unpopular fees for services required by the Public of the Council. - The health and wellbeing of the City may be impacted. - Causing service failure or significant cost over runs. 	<ul style="list-style-type: none"> - Directors keep abreast of policy change and development in their portfolios. - The implications of change described and discussed - including political briefings if required. - Budgeting takes account of national changes. - Staff are trained in new requirements. 	4	3	12	<ul style="list-style-type: none"> - Examine options for service integration; improved leadership development; manage demand better; have honest conversations with the public about what can be expected from us - Improve commissioning activity across the Council. 	3	2	6		Andy Keeling	31/03/19 and ongoing
14. DIGITAL TRANSFORMATION The council may not be able to maximise the use of technology and data to work smarter and more efficiently, reduce costs and deliver customer friendly services. Integration of data, workflows and systems may not be delivered as required	<ul style="list-style-type: none"> - LCC is not able to meet the savings targets - Service delivery may not be met or may be compromised - Demand management may become problematic as increased population and draw on services. - Service costs may increase as more demand is placed on expensive channels - Demand and service costs are increased by if the end to end transformation of both the service area and the IT/data is not delivered as creating a digital presence only increases the process, rather than streamlining - Reputational damage to the council as demand pressures increase - Customer experience is poor, leading to complaints and an increased demand as customers are accessing the services multiple times for the same transaction 	<ul style="list-style-type: none"> - Scope, vision, objectives and design principles for the digital transformation programme have been agreed. - Digital Transformation Programme Manager in post. - Digital Transformation Board established and a digital transformation gateway process to manage projects is agreed and in place supported by a weekly Digital Transformation conference call led by senior officers. - Resources for the programme-have been-secured and other relevant areas of the programme are being taken forward using existing core resources in areas such as Organisational Development and Equalities. - Key transformation projects have been agreed and are being undertaken within the workstreams around ICT rationalisation, channel transformation and service based digital transformation. Work underway on identifying and baselining metrics to measure the progress and impact of the programme overall. - New Open Data platform has gone live with transparency data and work underway to look at future development of the platform. - Council has signed up to the DHCLG digital declaration and is engaged with the new national Digital Collaboration Unit to support the programme. 	4	3	12	<ul style="list-style-type: none"> - Finalise and sign off the metrics to measure progress across the different aspects of digital transformation - Ensure clear communications relating to the programme - Review ICT resources and approach needed to ensure the programme is able to deliver at the appropriate pace 	3	3	9		Miranda Cannon	31/03/19 and ongoing

Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Andy Keeling, COO

Date completed: 31/01/19

RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE WITH EXISTING MEASURES			FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE WITH FURTHER ACTIONS/ CONTROLS REQUIRED			COST	RISK OWNER	TARGET DATE
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<p>15. BREXIT SCENARIOS - There may be significant implications relating to requirements for further public sector cuts, reductions in other funding streams particularly for infrastructure projects, as well as longer-term legislative changes in areas such as procurement. Also creating a level of instability and uncertainty in financial markets and in relation to staffing either directly or indirectly (via supply chains)</p>	<ul style="list-style-type: none"> - Further budget reductions. Impacts on major infrastructure schemes and vision around future city development. - Implications in terms of treasury management. - Need in future to revisit key policies and procedures - Community tensions and disorder - Potential for service disruption arising from supply issues, public disorder etc 	<ul style="list-style-type: none"> - Monitor situation closely. COO part of national reporting arrangement through regional Execs - CMT completed and reported a Brexit impact assessment to Executive and is further updating this - LRF has undertaken a detailed risk assessment and is undertaking planning in light of potential risks particularly around public disorder and disruption and other issues such as travel disruption around East Midlands Airport. Established LRF plans and arrangements in place to manage such risks if they emerge. A reporting regime and structure has been agreed by the LRF and LCC has identified relevant representatives for roles in this and is engaged in planning and reporting activity. 	4	3	12	<ul style="list-style-type: none"> - Continue to monitor and update LCC impact assessment and take appropriate actions in accordance with this. Continue to work with the LRF in managing risks - Consider implications alongside future budget strategy 	3	3	9		<p>Andy Keeling / Alison Greenhill / Miranda Cannon</p>	31/03/19 and ongoing

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<p>16. FIRE RISK IN TALL BUILDINGS As a result of the failure of cladding materials and fire safety measures the fire service issues a prohibition notice leading to the evacuation of a high rise residential building .</p>	<p>- The Council is faced with the potential rehousing of occupiers at short notice and for a potentially indeterminate period of time.</p>	<p>- The Council is contributing to an ongoing exercise (led by LFRS) whereby high rise buildings are assessed for a) cladding b) whether that cladding is ACM and c) through the fire service, whether the building satisfies fire safety regulations.</p> <p>- All LCC owned tall buildings have been reviewed in conjunction with LFRS and any mitigating actions identified completed</p> <p>- Maxfield House is a s part of a planned improvement programme having work undertaken, this is currently empty and work ongoing</p> <p>- Decision taken to demolish LCC owned Goscote House taken.</p> <p>- No further occupation and current tenancies reducing to mitigate risk (from 134 now down to 42 tenants - 24 of these to be rehoused to Maxfield House)</p>	4	3	12	<p>- The fire service will provide the Council with an early indication of any buildings where a prohibition notice is likely to be issued in order that options for temporary accommodation can be considered in advance of any potential displacement.</p> <p>- The Council and the Fire Service jointly will continue to review high rise and other buildings in the context of emerging government guidance</p> <p>- Demolition of Goscote House due during 2019</p> <p>- Decision taken to fit sprinklers to all LCC owned tall buildings, Maxfield House is now being fitted due for completion in March 2019 during improvement works. All other LCC owned Tower blocks to have sprinklers retro fitted from 2019 onwards</p> <p>- Fire Safety leaflet agreed with LFRS/Internal Comms is to be distributed to all LCC Council tenants including those in Tower blocks in March 2019</p>	2	3	6		Chris Burgin/John Leach	31/03/19 and ongoing

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<p>17. ENSURING STATUTORY RESPONSIBILITY FOR PROVISION OF SECONDARY SCHOOL PLACES</p> <p>Failure to provide secondary schools places in line with statutory responsibilities Uncertainty over the delivery and timing of government free schools, together with risks around the impact of Brexit, results in the city having either insufficient or a surplus of secondary school places.</p>	<ul style="list-style-type: none"> - Surplus space developed which prejudices particular schools resulting in closures or that of the freeschool programme stalls and we find a lack of places, with subsequent impact on our legal duty, the education of children and the reputation of the Council. - This would also carry financial impact in terms of emergency mitigation measures required. 	<ul style="list-style-type: none"> - Clear milestones in place over a 12-month period, such as offer day, October census, on time applications which allow clear touch point and review periods to ensure close monitoring of places - Future projections and modelling of places is now reviewed by a third party as part of the verification process to ensure any projections - National data sets used to triangulate local needs, such as NHS projected birth data - Regular DFE meetings in place to discuss need across the city and collaborate around future free schools. DFE meetings and outputs in terms of future wave projections are considered within the pupil places allowing a complete picture to be understood. - Officers monitor the approved free school programme applications, to ensure programmes remain on track around place provision delivery and operate any contingency mechanisms should slippage occur - Working with secondary schools around the city to facilitate temporary provision of space to accommodate larger classes. - Full team in place to work alongside DFE to help support the delivery of additional spaces through the current government programmes such as free schools. This includes review current surplus council assets and land. - In order to reach a point of certainty in the provision of space we are working both internally and with assistance from independent experts to review our place planning forecasts and develop phased provision of new space. This work is being managed by an internal - Schools Estates Governance Board and is reporting regularly. - Ensuring all projections and tolerances are understood including contingency measures which need to be implemented at each milestone and check point should it be identified that we the authority is falling below the projection. 	4	3	12	<ul style="list-style-type: none"> - Data reviews received frequently but sufficient control measures currently in place - Should additional resource be required this will be put in place - Close working with both school in the city and government programme is continuing to ensure sufficient places are provided 	3	3	8		Richard Sword	31/03/19 and ongoing

Appendix 2a - LCC Strategic Risk Register

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<p>1. FINANCIAL CHALLENGES The Council fails to respond adequately to the cuts in public sector funding over the coming year or years.</p>	<p>- Council is placed in severe financial crisis. Reputational damage to the Council and substantial crisis job losses. If the process is not properly managed, the Council will have little money for anything but statutory 'demand led services'</p>	<p>- Budget balanced in 18/19 and draft budget for 19/20 prepared and balanced. Spending review 4 programme underway and previous spending reviews largely complete. - Further work required to balance the medium term, particularly driving the spending review programme - £6m service transformation fund</p>	5	4	20	<p>- Heavy involvement of City Mayor and COO in ensuring spending review programme delivers. - Appropriate change management/ project management arrangements to be put in place for major review areas. - Delivery of spending review 4 - Sign off for 2019/20 budget</p>	5	3	15		<p>Andy Keeling Alison Greenhill</p>	<p>31/03/2019/ 2020 and On-going</p>
<p>2. STAKEHOLDER ENGAGEMENT The Council fails to maintain effective relationships with stakeholders (partners, neighbouring Councils, NHS etc.). Key partners and stakeholders fail to support the council in delivery of its strategy as a result of tensions and strained relationships due to financial and other pressures. Council fails to identify tensions arising in the city (particularly as the financial challenges impact on communities) leading to unrest in specific communities/areas of the city.</p>	<p>- Failure of local agreements and stakeholder arrangements to deliver agreed levels of performance, the impacts of which may reflect negatively on the Council adversely affecting its reputation. - Potential litigation where it impacts on formal contractual relationships. - Financial risk if Integration Transformation Fund plans are inadequate or not agreed. - Partnership working will be an expensive bureaucracy and fail to add value to improving outcomes for the citizens of Leicester. - Reputational damage to the Council/City from the perspective of stakeholders. - Partnership working fails to take into account the needs of all communities.</p>	<p>- Mechanisms in place for regular dialogue including formal partnerships e.g. Health and Wellbeing Board. - City Mayor Faith and Community Forum in place to engage specifically with faith and non-faith communities and Oct 2018 Forum meeting evaluated approach to date of the Forum. - Arrangements for engagement of, and support to, the Voluntary Community Sector (VCS) have been commissioned and contracts are in place. - Specific Executive Members have clear objectives around partnership working in their portfolios, for example working with the voluntary and community sector is reflected in the portfolios for the Assistant City Mayors for Communities and Equalities, and for the Voluntary and Community Sector. - Close involvement of City Mayor and Members in key partnerships.</p>	4	3	12	<p>- Regular review and evaluation of the current position by Strategic Management Board. - Review of existing arrangements and contract for VCS engagement and support will be part of spending review 4 - Key aspects of partnership working being reviewed and updated in the light of Ofsted findings e.g. LSCB - City Mayor Faith and Community Forum to evaluate current work of the Forum at Oct 2018 meeting</p>	4	2	8		<p>Miranda Cannon / All Strategic Directors</p>	<p>31/03/19 and ongoing</p>

Appendix 2a - LCC Strategic Risk Register

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<p>2. STAKEHOLDER ENGAGEMENT (Continued) If stakeholder engagement is not robust and effective but is critical to the delivery of the Council's priorities, statutory duties etc., these may not be delivered. An example of such is the need to have a continuing, productive partnership relationship with Clinical Commissioning Group which is particularly important in light of the importance for Adult Social Care of the Better Care Together Fund.</p>	<ul style="list-style-type: none"> - There is no common vision or consensus across key partners in the City and therefore the work of individual organisations pulls in different and potentially conflicting directions. - Places a strain on resources and services to manage. - Partners are present round the table but are not collectively owning the agenda or taking on board the responsibilities and actions that arise therefore undermining the approach - Public health and wellbeing may be impacted or the quality of the service delivered to the Public is insufficient, which could cause harm. 	<ul style="list-style-type: none"> - The Council/ Police have a Community Gold meeting which meets approx. once a month and includes Local Policing Unit commanders, the Basic Command Unit commander and council officers from Leicester Anti-Social Behaviour Unit, youth services, community services. This tracks and agrees joint actions to address any known tensions in communities. This is supported by a shared system between front line officers from the police and the council to track community tension. Community joint management group now in place which creates a regular conduit for engagement with community leaders. - LLEP Review has been finalised which has strengthened governance and management of the Leicester, Leicestershire Enterprise Partnership and links with Further Education/Higher Education/ VCS and business sectors. 										
<p>3. CYBER RISK - Loss or compromise of IT systems and/or associated data through cyber security attacks</p>	<ul style="list-style-type: none"> - Potential financial or reputational damage to Council. - Potential Data Protection breaches. - Fines - Service delivery affected 	<ul style="list-style-type: none"> - Ensure close monitoring of existing perimeter and internal security protection. - Continue working on staff awareness and training 	5	5	25	<ul style="list-style-type: none"> - Currently out to market for a Security and Incident Event Management service. - IT Security Manager appointed and will be in post August 2018. - <u>LRF have identified cyber security as a significant risk and are looking to support around awareness raising and business continuity / response planning</u> 	4	3	12		Andy Keeling / Alison Greenhill	<u>31/03/19 and ongoing</u>

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<p>4. BUSINESS/SERVICE CONTINUITY MANAGEMENT Unforeseen unpredictable events such as flood, power/utility failure etc. could impact on the council's assets, communication channels or resources etc.</p>	<ul style="list-style-type: none"> - Insufficiently prepared management leads to disorder in the rapid restoration of business critical activities and the control of the emergency plan. - The wider risk environment increasingly makes 'resilience' a significant focus for all organisations. - Budget cuts and rationalisation may also challenge the ability of Category 1 responders (which LCC are) to fulfil their statutory duty. - Resource restraints means that there is limited staff to perform manual operations at the volume required in an event/incident. - Council is unable to communicate to stakeholders/deliver its services. - Reputational Damage - Vulnerable service users in danger as such users face loss of service. - Financial Impact - Impact on resources 	<ul style="list-style-type: none"> - All the Senior Management Team have roles in either the Corporate Business Continuity Management Team (CBCT) or are Emergency Controllers. - The Manager, Risk Management chairs the Multi-Agency Business Continuity Group. - All Business Critical Activities for the council are identified and named in the Corporate Business Continuity Plan (CBCP) - Critical Services BCPs are reviewed thoroughly and updated annually or as and when changes occur in service areas. These are then submitted to REBR who cast a critical eye on all these plans. - BCP Strategy and Policy tailored for the council in place to meet organisational needs. - Training offered corporately and a number of table-top exercises recently done for specific services - Risk Management/Insurance Services/REBR Team provide updates and lessons learnt on incidents to CBCT/Audit & Risk Committee as appropriate - Self cert annually by Directors to confirm BCPs in place for all service areas - CBCP which is reviewed annually but also updated as and when changes occur - Desktop review of the Corporate Plan by insurers confirmed it is a well written plan - Resilience Direct Secure Site (web based) holds CBCP and all Business Critical Activities BCPs (alongside emergency planning documentation) and is securely accessed by the CBCT - Communications on-call arrangements working more effectively and training run for all staff involved including LRF training/meet each on call officer individually for an annual half hour briefing - Review recently completed which has amalgamated emergency planning, risk management and business continuity to deliver one integrated function which in itself should be more resilient as a result - Assisting maintained schools on BC planning 	5	2	10	<ul style="list-style-type: none"> - Further embedding of business continuity management approach. - Further completion of Business Continuity tests. - Further communication/training and awareness for staff on continuity arrangements. Contingency planning training continues to be delivered to levels of management below the Corporate BCP and all staff. - Post review continue the work on closer integration of Business Continuity with Emergency Planning - Working towards an analytical approach in reviewing the number of Business Critical Activities and to reduce them to ensure recovery from an incident is more efficient and effective 	4	2	8		Miranda Cannon	<u>31/03/19 and ongoing</u>

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<p>5. INFORMATION GOVERNANCE Information Governance/Security/ Data Protection policies/procedures/ protocols are not followed by staff and members.</p>	<ul style="list-style-type: none"> - Major loss of public confidence in the organisation. - Potential litigation and financial loss to the Council. - Reputational damage to the Council. - With data held in a vast array of places and being transferred between supply chain partners, data becomes susceptible to loss; protection and privacy risks. - Reduction in the capacity/capability to retain such data. This could also be costly. - Excessive retention of data can still be requested through a Freedom of Information Act if retained. - Council may not share data with the appropriate individuals/bodies accurately, securely and in a timely manner. - Council fails to adequately secure/protect confidential and sensitive data held. - Possibility of not being compliant with new data protection legislation (GDPR, Data Protection Act 2018) 	<ul style="list-style-type: none"> - Clear policies and protocols in place. - Staff have been trained and made aware of the Council's policies and procedures. - Secure storage solutions are now in place. - Paper retention has been reduced through the introduction of scanning etc. - Mandatory e-learning module for staff - Monthly reporting of incidents to Directors in place - GDPR action plan implemented and regularly reviewed 	4	3	12	<ul style="list-style-type: none"> - Clear and on-going communications to staff to reinforce policies and protocols. - Regular review and monitoring of arrangements across services by Service Managers supported by Information Security/Governance Teams. - Ensure that the policy in place around the management of electronic data and disposal of data is in the awareness of staff - Ongoing review and updating of appropriate information sharing agreements. - Information asset registers, Privacy Notices, policies & procedures and contract clauses reviewed in light of GDPR - GDPR training available across the Council - Data Protection Officer appointed 	4	2	8		Andy Keeling	<u>31/03/19</u> <u>and</u> <u>ongoing</u>

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<p>6. COMPLIANCE WITH REGULATION, POLICIES, PROCEDURES HEALTH AND SAFETY ETC</p> <p>Local management use discretion to apply inconsistent processes and misinterpret Corporate policies & procedures, perpetuating varying standards across business units.</p> <p>The City Council fails to respond effectively to the requirements of Health and Safety Executive/Government proposals and/or legislation which places health and safety responsibilities on local authorities.</p>	<ul style="list-style-type: none"> - Places the organisation at risk e.g. fraud, data loss etc. Potential financial losses / inefficient use of resources. - Possibility of serious injury or death of member of staff or service user/members of the public. - Failure to meet statutory responsibilities. - Reputational damage to the Council. - Negative stakeholder relationships - Potential for increase in the number of insurance claims 	<ul style="list-style-type: none"> - Regular reporting from Internal Audit to Strategic Management Board - Approach to the annual corporate governance review revised and a more effective process established. - Day to day management of Health and Safety responsibility rests with the Operational Directors and their Heads of Service. Corporate Health and Safety team available to assist. - Risk is reported and controlled through Divisional Directors Operational Risk Registers (presented to the CMT and the Executive each quarter and reported twice yearly to Audit and Risk Committee) and these are underpinned by registers at Heads of Service level reviewed and discussed at Divisional Management Teams quarterly. - Regular inspections and reports by the Health and Safety team with all actions being followed up within a reasonable time. Close involvement of Trade Unions in monitoring and reviewing Health and Safety. - A process of more regular reporting to Corporate Management Team on health and safety matters has been established via the quarterly risk management reports - Work is well advanced on reviewing absence management with agreed actions being focused on to seek to address this particularly in terms of stress and musculo-skeletal absence which are the top causes. In addition CMT approved a new employee Health and Wellbeing framework and action plan which will further support the work to reduce absence and deal with key issues such as work-related stress. New Mental Health training has been piloted and is due to be being rolled out. - Current corporate equality strategy and action plan approved by Council in June 2018 which supports will support the Council in ensuring it meets the requirements of the Equalities Act 2010 and the Public Sector Equality Duty. Action plan is monitored quarterly - Draft process to be finalised and rolled out in relation to officer decisions to ensure compliance with the relevant legislation. 	4	3	12	<ul style="list-style-type: none"> - Continue to review and reinforce key standards and policies via regular communication. - Ensure Managers are appropriately trained and requirements are clearly set out in Job Descriptions and reinforced via appraisals. - Ensure Internal Audit findings are acted on in a timely manner. - Continue to refine and improve strategic monitoring and reporting in relation to Health & Safety to ensure responsibilities are reinforced from the top. 	4	2	8		Kamal Adatia / Miranda Cannon	31/03/19 and ongoing
<p>7. SAFEGUARDING</p> <p>Weak Management oversight of safeguarding processes in place leads to the Council failing to adequately safeguard vulnerable groups e.g. children and young people, elderly, those with physical and learning disabilities.</p>	<ul style="list-style-type: none"> - Death or serious injury. - Serious case reviews initiated. - Reputational damage to the Council. - Citizens lose confidence in the Council. - Negatively impacts on relationships with stakeholders. - Impacts severely on staff morale - Leads to high turnover of social workers and managers. 	<ul style="list-style-type: none"> - Safeguarding Adults and Children's Boards in place. - Regular reviews of policies/procedures and close supervision of staff. - Range of quality assurance processes exist within the Divisions. - Range of developments, including corporate training, exist within the Divisions to manage, support recruit and retain staff. - Improvement Board established following the Ofsted inspection and other arrangements e.g. Performance Board set up - 24/7 Duty and Advice Service in place - Single assessment team in place which has resulted in a reduced caseload and more timely intervention 	5	3	15	<ul style="list-style-type: none"> - Board performance and framework development. - Chair of Board has direct accountability through Chief Operating Officer. - Regular bi-annual meetings with Mayor and Adults and Children's Lead Members. - Full implementation of all necessary improvements identified via the Ofsted inspection of Children's Services - overseen by Improvement Board and independency Chair - Performance framework in place across Children's - positive progress highlighted in recent Ofsted reports - Version 11 of Liquid Logic implemented successfully 	5	2	10		Steven Forbes	31/03/19 and ongoing

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8. SCHOOL IMPROVEMENT	<ul style="list-style-type: none"> - Poor OFSTED outcome for schools - Increased risk of schools going into category of special measures - Poor outcome for Local Authority if inspected under the OFSTED framework for LA School Improvement effectiveness 	<ul style="list-style-type: none"> - Revised desk top analysis to identify potential underperformance in individual schools and settings - Revised School Improvement Framework - Regular reporting to DMT and LMB on schools causing concern and targeted work - Self evaluation against OFSTED framework for inspection completed - At risk schools discussed and warning notices considered - Inspection file being collated to evidence effective and good practice in targeted work with schools - <u>Working with most schools in the Primary sector to establish a school improvement strategy based on a school-led system and a collaborative approach to school improvement.</u> - <u>All schools encouraged to carry out a safeguarding audit – some schools . considered "at risk" and/or near inspection targeted directly via the head and governors to carry out an audit in the Spring term of 2019. Reports from schools sent to the SI team for scrutiny.</u> - <u>Continue to explore traded services with schools where service budgets do not allow for the same levels of support as previously</u> 	4	3	12	<ul style="list-style-type: none"> - Targeted visits by Director of Learning - Revised support packages - Single plan implementation for RI schools - Local Authority Reviews of individual schools to be negotiated - Preparation for inspection to include briefing to all schools - <u>Review induction process for new heads</u> - <u>Review financial controls on maintained schools</u> 	4	2	8		Paul Tinsley	<u>31/03/19 and ongoing</u>
9. CIVIL CONTINGENCY RESPONSE/INCIDENT RESPONSE Council resources may not be adequate or sufficient to respond should an external incident/disaster occur (for example, the impact of climate change leading to floods placing responsibility to the Council to house evacuees from other counties/areas) .	<ul style="list-style-type: none"> - An increase in inclement weather (flood, heat, waves, drought, windstorm, increased snow fall etc.) building the right infrastructure and new statutory flood and water risk management duties. - Having sufficient financial resources and flexibility to address these challenges becomes increasingly difficult. - Having sufficient assets/contingency arrangements. - Lack of resources could lead to inadequate response . - Impact on the public's health and wellbeing, safety/housing needs etc. - Adverse impact on budget - Reputational impact - Death/injury - Potential for increase in the number of insurance claims - Negative relationships with stakeholders - Fail to meet statutory requirements - City Council fails to respond effectively to the requirements of Government proposals and/or legislation 	<ul style="list-style-type: none"> - Corporate Management of this is outlined in the Leicester Sustainable Action Plan action plan which covers all areas of management activity across the Council and its partners to reduce carbon. - Day to day management of climate change responsibility rests with the Operational Directors and their Heads of Service. - Risk is reported and controlled through the Divisional Directors Operational Risk Registers (presented to Corporate Management Team <u>and Executive</u> each quarter) and these are underpinned through regular reviews as part of the revised Eco-Management Audit Scheme (EMAS) system. - Local Resilience Forum (LRF) county wide partnering arrangement. - Leicester City Council (LCC) is part of the Resilience Partnership of local authorities in LLR. LLR Health Protection Committee coordinates health protection response across LA/PHE/NHS - LRF multi-agency flooding TCG exercise held at City Hall to test facilities here. Lessons learnt/debrief held. - City Council major incident plan reviewed and signed off. - Emergency control room fully equipped and operational at City Hall and provides a facility for both local management of emergencies and use by the LRF as a SCG venue. Tested on a number of large scale events e.g. LCFC victory parade and KR3 reinternment and specifically for LRF multi-agency TCG flooding exercise. - New logging system implemented to support major incident response and event management - <u>Emergency management arrangements tested a number of times in 2018 as a result of major incidents e.g. Hinckley Road and LCFC helicopter crash and were found to be robust and effective. Debriefs undertaken and lessons learnt being implemented</u> - <u>Briefings provided to scrutiny on emergency planning and incident response to increase member understanding and awareness</u> 	4	3	12	<ul style="list-style-type: none"> - Public engagement and city wide flood defence programmes are being developed jointly with the Environment Agency. This provides a two-pronged approach to manage the risk of severe flooding arising from climate change. - LRF and Resilience Partnership arrangements continue to be reviewed. - Robust schedule of plan reviews and training in place and agreed via the LRF - LLR-wide Health Protection Committee arrangements under review to provide assurance around management of health protection risks/incidents and outbreaks - Continue to undertake full debriefs from any incidents and ensure lessons learnt and recommendations are acted upon. Council debrief for Hinckley Road major incident has been completed and fed into an LRF formal debrief which is being finalised. - <u>Post May elections member development programme will include briefings on emergency planning for Councillors</u> 	4	2	8		Miranda Cannon - Alison Greenhill - Ivan Brown	<u>31/03/19 and ongoing</u>

Appendix 2a - LCC Strategic Risk Register

Risk Register Owner: Andy Keeling, COO

Date completed: 31/01/19

RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE WITH EXISTING MEASURES			FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE WITH FURTHER ACTIONS/ CONTROLS REQUIRED			COST	RISK OWNER	TARGET DATE
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<p>10. RESOURCE: CAPACITY, CAPABILITY, RETENTION & DEVELOPMENT</p> <p>Lack of workforce planning and appropriate development of managers and employees leaves the Council exposed to service failure.</p> <p>The Council does not have the capacity/resilience in resources, should an event/incident occur, may significantly increase the demand on front line services. Changing market conditions gives rise to the council not being seen as first choice for employment as private sector may be perceived as offering better reward.</p>	<p>- The Council does not have the right skills, behaviours and competencies in terms of the workforce to deliver the city's vision and priorities.</p> <p>- The Council fails to maximise the potential of its key resource.</p> <p>- Staff become demotivated/are under pressure which has an impact on productivity and delivery across the Council.</p> <p>- Disruption to service delivery.</p> <p>- Impacts on continuity of services. Creates risks in delivery because information on processes/procedures etc is lost</p> <p>- Service demands may not be met.</p> <p>- Reputational damage.</p> <p>- Financial impacts.</p> <p>- Drain on resources</p> <p>- Potential reduction in controls being exercised and as a result, the business control environment is reduced.</p> <p>- Potential exposure for fraud/irregularity.</p> <p>- Impact on the Health and Wellbeing of the City.</p> <p>- Council loses knowledge, experience and skills</p> <p>- Posts not filled with the right skills set/qualification/experience</p> <p>- changing market conditions may result in the Council being unable to recruit to specific posts or attract candidates of the right skill mix</p>	<p>- Organisational Development Team (OD) working to develop their role and remit and engagement with the organisation</p> <p>- Organisational vision and values continued roll out</p> <p>- Active programme of work to support young people into employment and to utilise graduates, apprenticeships, work placements etc across the Council and to maximise the use of the apprenticeship levy. Significant numbers of graduates and apprenticeships in place within the Council</p> <p>- Digital Transformation programme includes a focus on developing the digital skills and competencies within the workforce.</p>	4	3	12	<p>An approach to workforce planning has been piloted and dashboards developed to support divisions. This is to be reported back to CMT and used to inform further what OD interventions and L&D activity and support is needed as part of the work of the OD Team</p> <p>- Continue the embedding of the vision and values across the organisation</p> <p>- Enabling our best work project on performance management has developed a framework for employee performance management and proposed leadership competencies to underpin management and leadership development <u>and this is now being rolled out across LCC</u></p> <p>- Continue to identify opportunities to use apprenticeship schemes in targeted areas e.g. recent launch of new apprenticeship scheme in adult social care in partnership with Warwick University</p> <p><u>- New employer value proposition being developed which will feed into a fully modernised and competitive recruitment website to attract people to roles within LCC</u></p>	3	3	9		Miranda Cannon / Craig Picknell	<u>31/03/19 and ongoing</u>

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<p>11. COMMISSIONING, CONTRACT MONITORING, MANAGEMENT & PROCUREMENT</p> <p>Lack of robustness in contract management & monitoring protocols/procedures/controls and limited awareness/understanding of contractual risks by staff within the Council, particularly by those procuring for goods/services.</p>	<ul style="list-style-type: none"> -Reputational damage- -Financial impacts; valuable funding is used for rectification of issues- -Increase in staff resources to defend a challenge- -Potential for litigation and fines being incurred- -Contract service level agreements may not be adhered to- -The Council does not receive value for money for the services it procures- -The Council is challenged in the reduction of contracts when re-tendered- -Discouraged providers may not tender for the contract in the future, potentially reducing the portfolio of providers and even reducing the availability of high quality providers- -Council pay higher fees for services contracted or are unable to exit contracts when service delivery is not inline with the expected quality/contractual requirements- -The Council may not procure goods and services from sustainable providers- -Partnership arrangements/collaborative agreements where formalised legally binding contracts are not in place- -Lack of consistency in LCC standard contract/agreement clauses leaves LCC open to liability risks -Not being clear in LCC specifications and requirements restricts the ability to effectively work with or manage the provider- -Agreements instantly may limit the ability to get specific measurable outcomes LCC might want and the City needs -Different processes/procedures/governance/expectations on delivery within the same areas of expertise i.e. procurement or commissioning- -Duplicate and waste time in preparation on contracts- -Contracts/agreements exist with no stability/not robust/lack of control across the council 	<ul style="list-style-type: none"> - Revised and improved Contract Procedure Rules in place along with associated guidance- - Policy that all procurement over a de minimis threshold must be carried out by one of the specialist procurement teams- - Professional procurement staff recruited and in post - Contract Risk Management training available from RMIS- - Engagement with local supplier groups - Professional training for procurement staff (MCIPS)- - Electronic tendering system in use - Procurement template documentation in use - Service Analysis Team to use work to date to inform major piece of work around commissioning and contract management - <u>Contract Procedure Rules in place along with associated guidance.</u> - <u>Policy that all procurement over a de minimis threshold should be carried out by one of the specialist procurement teams.</u> - <u>Professional procurement staff recruited and in post</u> - <u>Contract Risk Management training available from RMIS</u> - <u>Professional training for procurement staff (MCIPS)</u> - <u>Electronic tendering system in use</u> - <u>Procurement template documentation in use</u> - <u>Service Analysis Team to use work to date to inform major piece of work around commissioning and contract management</u> 	3	4	12	<ul style="list-style-type: none"> - Training in procurement and contract management for staff across the Council - Enhanced engagement with local business to widen portfolio of potential suppliers - Development of communications plan to ensure all staff are informed of above as appropriate to their role- - <u>Further review or Contract Procedure Rules to focus on greater efficiency</u> - <u>Training in procurement and contract management for staff across the Council</u> - <u>Enhanced engagement with local business to widen portfolio of potential suppliers</u> 	3	3	9		Kamal Adatia	<u>31/12/19 and ongoing</u>

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Risk Register Owner: Andy Keeling, COO

Date completed: 31/01/19

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11. CONTRACT MANAGEMENT & PROCUREMENT (Continued). -Council pay higher fees for services contracted or are unable to exit contracts when service delivery is not inline with the expected quality/contractual requirements. -The Council may not procure goods and services from sustainable providers. -Partnership arrangements/collaborative agreements where formalised legally binding contracts are not in place. -Lack of consistency in LCC standard contract/agreement clauses leaves LCC open to liability risks -Not being clear in LCC specifications and requirements restricts the ability to effectively work with or manage the provider -Agreements instantly limit the ability to get specific measurable outcomes LCC might want and the City needs -Different processes/procedures/governance/expectations on delivery within the same areas of expertise i.e. procurement or commissioning -Duplicate and waste time in preparation on contracts -Contracts/agreements exist with no stability/not robust/lack of control across the council - Reputational damage. - Financial impacts: not secure value for money and/or required service delivery. - Potential for challenge/litigation and fines being incurred with associated cost/resource implications - Contracts may not be adhered to. - Procurement processes may not be efficient.												
12. ASSET MANAGEMENT That in advance of the imminent completion and adoption of the Council's strategic and corporate asset management plan that the condition of certain properties will deteriorate.	- The council's assets may fall into disrepair losing income and increasing maintenance costs. - Inability to optimise performance of the port folio.	- Final Asset Management Plan - including lifecycle planning for schools will be embedded during mid 2018. UBB Programme now mainstreamed into EBS business as usual activity - A single corporate asset management system is now in place. - Central Maintenance Fund is available to address urgent repair items and Health	5	4	20	- Continued development of effective planned maintenance programme across the estate- performance measurement in place to provide assurance regarding compliance-concerto being established and populated to work as the single corporate asset management system - Continue delivery of the UBB programme including disposal of assets - Creation of corporate property to group for a single part of management, review and escalation.	5	3	15		Matt Wallace	31/03/19 and ongoing

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13. NATIONAL AGENDA/CHANGES IN LEGISLATION/ GOVERNMENT ETC On-going changes in government, legislation etc. gives rise to new demands and responsibilities with insufficient time for implementation and insufficient budget.	<ul style="list-style-type: none"> - Loss of income. - Services may not be delivered. - Reputational damage. - The budget may not be sufficient to deliver the expected service demand. - Statutory services, such as public health may be reduced and or the Council is unable to protect and safeguard the public, vulnerable individuals etc. - Implementation of unpopular fees for services required by the Public of the Council. - The health and wellbeing of the City may be impacted. - Causing service failure or significant cost over runs. 	<ul style="list-style-type: none"> - Directors keep abreast of policy change and development in their portfolios. - The implications of change described and discussed - including political briefings if required. - Budgeting takes account of national changes. - Staff are trained in new requirements. 	4	3	12	<ul style="list-style-type: none"> - Examine options for service integration; improved leadership development; manage demand better; have honest conversations with the public about what can be expected from us - Improve commissioning activity across the Council. 	3	2	6		Andy Keeling	<u>31/03/19 and ongoing</u>
14. DIGITAL TRANSFORMATION The council may not be able to maximise the use of technology and data to work smarter and more efficiently, reduce costs and deliver customer friendly services. Integration of data, workflows and systems may not be delivered as required	<ul style="list-style-type: none"> - LCC is not able to meet the savings targets - Service delivery may not be met or may be compromised - Demand management may become problematic as increased population and draw on services. - Service costs may increase as more demand is placed on expensive channels - Demand and service costs are increased by if the end to end transformation of both the service area and the IT/data is not delivered as creating a digital presence only increases the process, rather than streamlining - Reputational damage to the council as demand pressures increase - Customer experience is poor, leading to complaints and an increased demand as customers are accessing the services multiple times for the same transaction 	<ul style="list-style-type: none"> - Scope, vision, objectives and design principles for the digital transformation programme have been agreed. - Digital Transformation Programme Manager now in post. - Digital Transformation Board established and a digital transformation gateway process to manage projects is agreed and in place supported by a weekly Digital Transformation conference call led by senior officers. - Resources for the programme are being have been secured and other relevant areas of the programme are being taken forward using existing core resources in areas such as Organisational Development and Equalities. - Key transformation projects have been agreed and are being undertaken within the workstreams around ICT rationalisation, channel transformation and service based digital transformation. Work underway on identifying and baselining metrics to measure the progress and impact of the programme overall. - New Open Data platform has gone live with transparency data and work underway to look at future development of the platform. - Council has signed up to the DHCLG digital declaration and is engaged with the new national Digital Collaboration Unit to support the programme. Expressions of interest have been submitted for the national Digital fund. 	4	3	12	<ul style="list-style-type: none"> - Complete the capture of the detailed baseline to inform the programme development and Finalise and sign off the metrics to measure progress across the different aspects of digital transformation - Upskill and embed programme resources to ensure a customer-centric approach to design so that digital transformation ensures a customer-friendly approach with clear customer experience - Ensure clear communications relating to the programme. - Review ICT resources and approach needed to ensure the programme is able to deliver at the appropriate pace 	3	3	9		Miranda Cannon	<u>31/03/19 and ongoing</u>

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<p>15. BREXIT SCENARIOS - There may be significant implications relating to requirements for further public sector cuts, reductions in other funding streams particularly for infrastructure projects, as well as longer-term legislative changes in areas such as procurement. Also creating a level of instability and uncertainty in financial markets and in relation to staffing either directly or indirectly (via supply chains)</p>	<ul style="list-style-type: none"> - Further budget reductions. Impacts on major infrastructure schemes and vision around future city development. - Implications in terms of treasury management. - Need in future to revisit key policies and procedures - <u>Community tensions and disorder</u> - <u>Potential for service disruption arising from supply issues, public disorder etc</u> 	<ul style="list-style-type: none"> - Monitor situation closely. <u>COO part of national reporting arrangement through regional Execs.</u> - <u>CMT completed and reported a Brexit impact assessment to Executive and is further updating this.</u> - <u>LRF has undertaken a detailed risk assessment and is undertaking planning in light of potential risks particularly around public disorder and disruption and other issues such as travel disruption around East Midlands Airport. Established LRF plans and arrangements in place to manage such risks if they emerge. A reporting regime and structure has been agreed by the LRF and LCC has identified relevant representatives for roles in this and is engaged in planning and reporting activity</u> - Joint work underway with LRF to assess risks and identify where plans needed. - Work underway on an LCC risk assessment relating to potential Brexit impacts 	4	3	12	<ul style="list-style-type: none"> - Complete risk assessments with LRF and internally and monitor. <u>Continue to monitor and update LCC impact assessment and take appropriate actions in accordance with this.</u> - <u>Continue to work with the LRF in managing risks.</u> Consider implications alongside future budget strategy 	3	3	9		Andy Keeling / Alison Greenhill / Miranda Cannon	<u>31/03/19 and ongoing</u>
<p>16. FIRE RISK IN TALL BUILDINGS As a result of the failure of cladding materials and fire safety measures the fire service issues a prohibition notice leading to the evacuation of a high rise residential building .</p>	<ul style="list-style-type: none"> - The Council is faced with the potential rehousing of occupiers at short notice and for a potentially indeterminate period of time. 	<ul style="list-style-type: none"> - The Council is contributing to an ongoing exercise (led by LFRS) whereby high rise buildings are assessed for a) cladding b) whether that cladding is ACM and c) through the fire service, whether the building satisfies fire safety regulations. - All LCC owned tall buildings have been reviewed in conjunction with LFRS and any mitigating actions identified completed - Maxfield House is a s part of a planned improvement programme having work undertaken, this is currently empty and work ongoing - Decision taken to demolish LCC owned Goscote House taken. - No further occupation and current tenancies reducing to mitigate risk (from 134 now down to 42 tenants - 24 of these to be rehoused to Maxfield House) 	4	3	12	<ul style="list-style-type: none"> - The fire service will provide the Council with an early indication of any buildings where a prohibition notice is likely to be issued in order that options for temporary accommodation can be considered in advance of any potential displacement. - The Council and the Fire Service jointly will continue to review high rise and other buildings in the context of emerging government guidance - Demolition of Goscote House due during 2019. - Decision taken to fit sprinklers to all LCC owned tall buildings, Maxfield House is <u>now being fitted due for completion in March 2019</u> in 2018 during improvement works. All other LCC owned Tower blocks to have sprinklers retro fitted from 2019 onwards - <u>Fire Safety leaflet agreed with LFRS/Internal Comms is to be distributed to all LCC Council tenants including those in Tower blocks in March 2019</u> 	2	3	6		<u>Chris Burgin/John Leach</u>	<u>31/03/19 and ongoing</u>

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<p>17. ENSURING STATUTORY RESPONSIBILITY FOR PROVISION OF SECONDARY SCHOOL PLACES</p> <p>Failure to provide secondary schools places in line with statutory responsibilities Uncertainty over the delivery and timing of government free schools, together with risks around the impact of Brexit, results in the city having either insufficient or a surplus of secondary school places.</p>	<p>- Surplus space developed which prejudices particular schools resulting in closures or that of the freeschool programme stalls and we find a lack of places, with subsequent impact on our legal duty, the education of children and the reputation of the Council.</p> <p>- This would also carry financial impact in terms of emergency mitigation measures required.</p>	<p>- Clear milestones in place over a 12-month period, such as offer day, October census, on time applications which allow clear touch point and review periods to ensure close monitoring of places,</p> <p>- Future projections and modelling of places is now reviewed by a third party as part of the verification process to ensure any projections</p> <p>- National data sets used to triangulate local needs, such as NHS projected birth data</p> <p>- Regular DFE meetings in place to discuss need across the city and collaborate around future free schools. DFE meetings and outputs in terms of future wave projections are considered within the pupil places allowing a complete picture to be understood.</p> <p>- Officers monitor the approved free school programme applications, to ensure programmes remain on track around place provision delivery and operate any contingency mechanisms should slippage occur</p> <p>- Working with secondary schools around the city to facilitate temporary provision of space to accommodate larger classes.</p> <p>- Full team in place to work alongside DFE to help support the delivery of additional spaces through the current government programmes such as free schools. This includes review current surplus council assets and land.</p> <p>- In order to reach a point of certainty in the provision of space we are working both internally and with assistance from independent experts to review our place planning forecasts and develop phased provision of new space. This work is being managed by an internal - Schools Estates Governance Board and is reporting regularly.</p> <p>- Ensuring all projections and tolerances are understood including contingency measures which need to be implemented at each milestone and check point should it be identified that we the authority is falling below the projection.</p>	4	3	12	<p>- Data reviews received frequently but sufficient control measures currently in place.</p> <p>- Should additional resource be required this will be put in place.</p> <p>- Close working with both school in the city and government programme is continuing to ensure sufficient places are provided</p>	3	3	8		Richard Sword	31/03/19 and ongoing

Almost Certain	5				3	
Probable / Likely	4		11		1,12	
Possible	3			2,5,6,8,9,10,13,14,15,16,17	7	
Unlikely	2				4	
Very unlikely / Rare	1					
		1 Insignificant / Negligible	2 Minor	3 Moderate	4 Major	5 Critical / Catastrophic

Impact