Appendix 4 - LCC Strategic Risk Register

Risk Owner:Andy Keeling, COO

Date completed: 31 July 2013

Risk What is the issue: whats is the root cause/ problem – what could go wrong	Consequence /effect: *what would occur as a result, how much of a problem would it be ?, to whom and why*	Existing actions/controls	Risk Score with (See Scoring			Further management actions/controls required	Target Score controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
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1. Health reforms - City fails to respond effectively to the requirements of new Government proposals/ legislation which places new health responsibilities on local authorities	Impacts on ability to deliver improvements in health outcomes in Leicester . Failure to meet statutory responsibilities. Reputational damage to the Council and NHS. Financial implications in that the Council fails to secure the right resources (money and staff) to deliver the new duties.	Ongoing dialogue with key stakeholders including GP members of the City CCG and CCG staff. Shadow Health and Well Being Board established. Successful physical relocation of PCT Public Health staff into LCC New Walk Centre completed.	4	3	12	Development of a clear programme of work to continue delivering changes. Confirm resources needed to deliver the programme and governance arrangements. Briefing of City Mayor and members. Effective running of the shadow Health & Well-being Board.	3	3	9		Deb Watson	Mar-14

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2. Financial challenges - the Council fails to respond adequately to the cuts in public sector funding over the coming 2 - 3 years and fails to deliver the required budget savings for 2013/14.	Council is placed in severe financial crisis. Reputational damage to the Council. Significant job losses leading to potential to destabilise the Council and difficult industrial relations. Mismatch between service demand and budget availability may lead to an increase in financial instability in some instances. Pressure may be created between 'demand led services' (social care) and other priorities.	Budget for 2012/13 agreed as part of three year budget for 2012/15. Robust monitoring by SMB. budget for 2013/14-2014/15 is out for consultation. Regular reporting to the City Mayor and elected members.	5	4	20	Development of savings proposals for future years beyond the three year strategy, reflecting the Council's strategic service priorities and on-going modelling of the Council's potential future income and cost streams, recognising the significant reviews of Local Government funding and service delivery responsibilities at national level.	5	2	10		Andy Keeling Alison Greenhill	31.03.2014 and Ongoing

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3. Organisational flux - the level of changes needed to deliver the budget savings in particular the reductions in staffing destabilises the Council	As a result of organisational change there is a requirement for completely new skill sets that underpin a transformed business model, such as supplier management. Staff morale severely impacted and results in a dop in productivity. Not able to deliver priority outcomes and targets. Reputational damage to the Council	Whole Council approach to managing staffing reductions in place. Programme in place to seek volunteers for redundancy on an annual basis.	4	4	16	Implement regular monitoring of progress and impact by SMB. Ensure clear cascade communications to staff in place. HR develop appropriate measures to support staff	4	3	12		Andy Keeling	Mar-14
4. Partner relationships - LCC fails to further develop and improve the way it works in Partnership(s). Tensions and strained relationships with key partners and stakeholders including the voluntary and community sector due to financial and other pressures	Failure of local agreements and partnership 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.	Mechanisms in place for regular dialogue including formal partnerships via the City Partnership Board and Strategic Theme Groups. Co-ordinated work underway to review commissioning from the VCS.	4	4	16	Close involvement of Elected Mayor and Members in key partnerships. Regular review and evaluation of the current position by SMB	4	3	12		Miranda Cannon All Strategic Directors	March 2014 or when themed discussion at SMB around partnerships (with the VCS in particular) has taken place.

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	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 from the perspective of partners. Partnership working fails to take into account the needs of all communities. 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.	Partnership working arrangements in the city were further reviewed following the election of the City Mayor and adoption of new governance arrangements. The City Partnership Board has been established and is meeting quarterly focusing on major themes for the city. Partnership sub-structure has been reviewed and found generally to be fit for purpose. Cllr Sood now has partnership working within her portfolio. Work underway to redevelop mechanisms for engaging at strategic level with the VCS				Keep arrangements under review. Continue to develop and embed the approach to working strategically with the VCS						.
5. Crisis recovery - Inadequate emergency or business continuity response to a major event adversely affecting the Council, its employees, the people in its care or the citizens of Leicester.	Insufficiently prepared management leads to disorder in the rapid restoration of business critical activities and the control of the emergency plan. The emerging 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.	All members of the Senior Management Team have roles in either a Corporate BCM Team or act as Emergency Controllers.	5	3	15	Further embedding of business continuity management approach.	5	2	10		Andy Keeling	31.03.2014 and Ongoing

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6. Operational Risks - Significant Operational risks may seriously impair delivery of priority outcomes and targets and impact on the financial position of the Council	Less than optimal services provided to the citizens of Leicester. Operational issues may require resource 'earmarked' for strategic projects or programmes, leading to these being delayed or cancelled.	Operational Board identify, monitor and manage significant Operational risks.	4	3	12	Operational Board to identify, monitor and manage significant Operational risks. Chief Operating Officer and Strategic Directors to discuss significant Divisional Risks with individual Divisional Directors (at least quarterly) in their regular 121 meetings.	3	2	6		Andy Keeling / Elaine McHale / Frank Jordan / Deb Watson	31.03.2014 and Ongoing
7. ASCT Programme - The Council fails to transform and modernise social care in line with statutory requirements and the future cost of social care cannot be contained within the Council's budget.	Impacts on quality of care and choice provided to service users and carers. Impacts on outcomes relating to vulnerable adults and older people including the safety of these service users. Failure to meet Government defined targets. Planned efficiencies are not secured which impacts on Council budgets. Unable to manage the additional demands made on the service.	Following the recent quality assurance review of the programme the governance arrangements have been changed to create an internal board to ensure individual projects are progressed. An external steering group has also been created to enable users, carers and other stakeholders to have an input into the programme.	4	4	16	Monitor closely the progress of the programme.	4	3	12		Deb Watson	31.03.2014 and Ongoing

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8. Accommodation - Council fails to respond adequately to the structural issues relating to New Walk Centre	Significant risk to health and safety of employees and others. Major disruption to services if vacation of NWC is required. Major reputational damage. Significant financial implications	Accommodation programme in place to take forward the required work. Plans being progressed for relocation and future options.	5	3	15	Close monitoring of the programme. Engagement of staff teams in detailed planning work.	5	2	10		Frank Jordan	Dec-13
9. Community tensions - 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.	Impacts on reputation of the city and Council. Places a strain on resources and services to manage.	Tension monitoring and governance arrangements in place with the Police.	5	2	10	Continued close monitoring. Targeted interventions where needed. Lessons learned from managing the Thurnby Lodge 'issue' to be incorporated into future plans.	5	1	5		Frank Jordan	31.03.2014 and Ongoing
10. Information Security - the Council fails to adequately secure confidential and sensitive data that it holds	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.	Clear policies and protcols in place.	5	4	20	Clear and ongoing 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	5	2	10		Andy Keeling	31.03.2014 and Ongoing

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11. Breaches in standards / corporate policies and procedures - Local management use discretion to apply inconsistent processes and misinterpret Corporate policies & procedures, perpetuating varying standards across business units.	Places the organisation at risk eg fraud, data loss etc. Potential financial losses / inefficient use of resources.	Regular reporting from Internal Audit to SMB and Operational Board.	4	3	12	Continue to reinforce key standards and policies via regular communication. Ensure Managers are appropriately trained and requirements are clearly set out in JDs and reinforced via appraisals. Ensure Internal Audit findings are acted on in a timely manner.	4	2	8		Kamal Adatia	31.03.2014 and Ongoing
12. Project / programme delivery - project and programme controls fail to deliver	Major infrastructure transformation initiatives, process re-engineering and organisational change programme projects may be challenged by cost over-runs and failure to meet expectations by not completing on time or with significant budget overspend. Failure to co-ordinate projects and project resource leads to scope creep. Impacts on ability to drive improved outcomes and targets for the citizens of Leicester.	CPMO in place with monthly reporting on the portfolio. Support for Project and Programme Managers in place eg training, Project Managers Network. Formal programme of assurance reviews in place	4	3	12	Continued embedding of arrangements to ensure robust management and delivery of the overall portfolio of programmes and projects.	4	2	8		Andy Keeling All Strategic Directors	31.03.2014 and Ongoing

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13. Safeguarding - the Council fails to adequately safegaurd vulnerable groups eg children and young people, elderly, those with physical and learning disabilities	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.	Safeguarding Adults and Children's Boards in place. Regular reviews of procedures and close supervision of staff. Range of quality assurance processes exist within the Divisions. Range of developments exist within the Divisions to manage, support recruit and retain staff.	5	3	15	1. Board performance and framework development. 2. Chair of Board has direct accountability through Chief Operating Officer 3. Regular bi-monthly meetings with Mayor and Adults and Childrens Lead	5	2	10		Deb Watson/ Elaine McHale	31.03.2014 and Ongoing

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14. Breach of Health and Safety Regulations - City Council fails to respond effectively to the requirements of HSE/Government proposals and/or legislation which places health and safety responsibilities on local authorities.	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.	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 the Divisional Directors Operational Risk Registers (presented to Operations and Strategic Management Boards each quarter) and these are underpinned by registers at Heads of Service level that are reviewed and discussed at Divisional Management Teams each quarter. Regular inspections and reports by the Corporate Health and Safety team with all actions being followed up within a reasonable time. Failure to implement actions satisfactorily is reported to SMB.	5	3	15	Responsibility for Health and Safety (Section A of H&S Safety Manual) to be reviewed annually by Corporate H&S Manager. Reminder to be issued to all Directors annually by COO outlining H&S responsibilities as part of the Governance reporting process. Strategic Directors to re-inforce the Risk Management Strategy with their Directors and reinforce across their areas of responsibility. Annual risk based H&S audit programme to be agreed by SMB; proposed, delivered and reported by H&S service. Consideration to be given to establishing relevant KPI's for each Director's area of responsibility. - Corporate H&S manager to discuss	5	2	10		All SMB Members.	Mar-14

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15. Impact of Climate Change - City Council fails to respond effectively to the requirements of Government proposals and/or legislation which places climate change responsibilities on local authorities.	An increase in inclement weather patterns (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.	Day to day management of climate change responsibility rests with the Operational Directors and their Heads of Service. Corporate climate change/environmental team available to assist. Risk is reported and controlled through the Divisional Directors Operational Risk Registers (presented to Operations and Strategic Management Boards each quarter) and these are underpinned by registers at Heads of Service level that are reviewed and discussed at Divisional Management Teams each quarter. Regular inspections and reports by the Corporate Climate Change team with all actions being followed up within a reasonable time. Failure to implement actions satisfactorily is reported to SMB via respective Priority Boards	5	3	15	Strategic Directors to re-inforce the Risk Strategy and climate change responsibilities with their Operational Directors.	5	2	10		All SMB Members.	Mar-14

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16. Employee Development and Management - Lack of future workforce planning and appropriate development of managers and employees leaving the Council exposed to service failure in the future. The Council loses knowledge, experience and skills through staff leaving the Council as posts are made redundant and deleted.	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 which impacts 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	Learning and Development Strategy in place. Time allowed for redeployment in the case of compulsory redundancies provides opportunity for handover.	4	4	16		4	2	8		Stephanie Holloway (Interim)	Jun-13

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17. Voluntary and Community Sector (VCS) - Council fails to engage / commission appropriately from the VCS. LCC is at risk of judicial challenge if we fail to manage the contractual relationships effectively and in line with statute	Reputational damage from the perspective of the sector. The Council does not get maximum benefit from a thriving VCS in the city. The resilience and viability of the VCS is damaged. Risk of formal challenge e.g. judicial review from not engaging and consulting effectively with the sector.	Regular monthly progress reporting is now in place for all reviews. The Compact Steering Group has transformed into a strategic public sector/VCS group. Cllr Sood and Miranda Cannon working with the Group to refocus how it operates and maximise its impact	4	3	12	Continue to further develop relationships	4	2	8		Miranda Cannon	31/03/2014 and Ongoing

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18 - City Centre Strategy - Council fails to deliver the City Mayor's Economic Action Plan (Leicester to Work; Enterprising Leicester; Thriving City Centre; Growing City; Confident City)	Failure would seriously inhibit the further development of the regional centre which in turn would have angeative impact on both the City's and the sub-region's economy.	Council has a City Centre Director reporting to the same Strategic Director as the Director of Planning, Transportation and Economic Development. This ensures that decisions which may impact on the City's economy are not taken 'in isolation'.	5	3	15	All regeneration projects are overseen by a structured work programme.	5	2	10		Frank Jordan	31.03.2014 and Ongoing