

# Appendix 1 - LCC Strategic Risk Register

**Risk Register Owner: Andy Keeling, COO**

**Date completed: 31 October 2015**

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><b>1. FINANCIAL CHALLENGES</b></p> <p>The Council fails to respond adequately to the cuts in public sector funding over the coming 2 - 3 years.</p>	<ul style="list-style-type: none"> <li>- Council is placed in severe financial crisis by not delivering the required budget savings for 2015/16 onwards.</li> <li>- Reputational damage to the Council.</li> <li>- Potential to destabilise the Council and difficult industrial relations.</li> <li>- Mismatch between service demand and budget availability may lead to an increase in financial instability in some instances.</li> <li>- Pressure may be created between 'demand led services' (social care) and other priorities.</li> <li>- Reduction in services, budgets etc may impact on the health and wellbeing of the City.</li> </ul>	<ul style="list-style-type: none"> <li>- Budget approved to 2015/16, and balanced on paper to 16/17.</li> <li>- Work commenced on spending review programme which takes into account the Government's spending intentions as at July 2015.</li> <li>- The first spending review has now concluded. Corporate Management Team and Executive monitoring closely implementation of the existing agreed savings. Capital Advisory Board to review profile and management of capital programme to minimise slippage and overspending. Further savings will be required- the full extent will not become clear until the Government publishes spending plans in October 2015. The council is extending the remit of the spending review programme.</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>- Continued 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.</li> <li>- Continuation of the spending review initiatives and delivery of the programme.</li> <li>- Consideration and forward planning for the long term savings strategy for 2018/19. Appropriate change management/ project management arrangements to be put in place for major review areas</li> </ul>	5	2	10		<p><b>Andy Keeling</b> <b>Alison Greenhill</b></p>	31/3/2016 and On-going

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<p><b>2. STAKEHOLDER ENGAGEMENT</b>  <b>The Council</b> fails to further develop and improve the way it works with its 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>	<ul style="list-style-type: none"> <li>- 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.</li> <li>- Potential litigation where it impacts on formal contractual relationships.</li> <li>- Financial risk if Integration Transformation Fund plans are inadequate or not agreed.</li> <li>- Partnership working will be an expensive bureaucracy and fail to add value to improving outcomes for the citizens of Leicester.</li> <li>- Reputational damage to the Council/City from the perspective of stakeholders.</li> <li>- Partnership working fails to take into account the needs of all communities.</li> </ul>	<ul style="list-style-type: none"> <li>- Mechanisms in place for regular dialogue including formal partnerships e.g. Health and Wellbeing Board.</li> <li>- City Mayor Faith and Community Forum in place to engage specifically with faith and non-faith communities.</li> <li>- Arrangements for engagement of, and support to, the Voluntary Community Sector (VCS) have been commissioned and contracts are in place.</li> <li>- Cllr Sood has partnership working within her portfolio.</li> <li>- Close involvement of City Mayor and Members in key partnerships.</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>- Regular review and evaluation of the current position by Strategic Management Board.</li> <li>- Continue to develop and embed the approach to working strategically with the VCS.</li> <li>- Develop stakeholder communications/engagement plan of all critical and large partners to ensure that these relationships are given full consideration and priority, where needed.</li> <li>- Key aspects of partnership working being reviewed in the light of OfSTED findings eg LSCB</li> </ul>	4	2	8		<p><b>Miranda Cannon / All Strategic Directors</b></p>	<p>31/03/16 and ongoing</p>



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<b>3. BUSINESS/SERVICE CONTINUITY MANAGEMENT</b> Unforeseen unpredictable events such as flood, power/utility failure etc. could impact on the council's assets, communication channels or resources etc.	- 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. - 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.	- All the Senior Management Team have roles in either the Corporate Business Continuity Management Team (CBCT) or are Emergency Controllers. -Head of Internal Audit and Risk Management Chairs the Multi- Agency Business Continuity Group -CBCT have formal refresher meetings three times a year - Training offered corporately - Directors involvement in CBCT Meetings held 3 times a year. - Risk Management and Insurance Services/Emergency Management Team provide updates and lessons learnt on incidents to CBCT/Audit & Risk Committee as appropriate - Self cert annually by Directors - Corporate Business Continuity Plan (BCP) which is reviewed annually but also updated as and when changes occur which should be reflected in the plan - Business Continuity Secure Site (web based) holds BCP and all Business Critical Activities BCPs and is securely accessed by members of the CBCT	4	3	12	- Further embedding of business continuity management approach. - Further completion of Business Continuity tests. - Completion of all Service Business Continuity Plans. - Further communication/training and awareness for staff on continuity arrangements. - Annual review of Critical Service Business Continuity Plans initiated by Risk Management and Insurance Services	4	2	8		Andy Keeling	31/3/2016 and On-going

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<b>4. INFORMATION GOVERNANCE</b> Information Governance/Security/Data Protection policies/procedures/protocols are not followed by staff and members.	<ul style="list-style-type: none"> <li>- Major loss of public confidence in the organisation.</li> <li>- Potential litigation and financial loss to the Council.</li> <li>- Reputational damage to the Council.</li> <li>- 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.</li> <li>- Reduction in the capacity/capability to retain such data. This could also be costly.</li> <li>- 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.</li> <li>-Council fails to adequately secure/protect confidential and sensitive data held.</li> </ul>	<ul style="list-style-type: none"> <li>- Clear policies and protocols in place.</li> <li>- Staff have been trained and made aware of the Council's policies and procedures.</li> <li>- Secure storage solutions are now in place.</li> <li>- Paper retention has been reduced through the introduction of scanning etc.</li> <li>- Member induction post May 2015 elections will cover and reinforce the issues around information governance</li> <li>- Programme underway to reinforce to staff the need to manage email data and storage appropriately</li> <li>- Manadatory e-learning module for staff</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>- Clear and on-going communications to staff to reinforce policies and protocols.</li> <li>- Regular review and monitoring of arrangements across services by Service Managers supported by Information Security/Governance Teams.</li> <li>- Ensure that the policy in place around the management of electronic data and disposal of data is in the awareness of staff</li> <li>- Ongoing review and updating of appropriate information sharing agreements.</li> </ul>	4	2	8		Andy Keeling	31/03/2016 and On-going

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<p><b>5. BREACHES IN COMPLIANCE WITH REGULATION, POLICIES, PROCEDURES HEALTH AND SAFETY ETC</b></p> <p>Local management use discretion to apply inconsistent processes and misinterpret Corporate policies &amp; 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"> <li>- Places the organisation at risk e.g. fraud, data loss etc. Potential financial losses / inefficient use of resources.</li> <li>- Possibility of serious injury or death of member of staff or service user/members of the public.</li> <li>- Failure to meet statutory responsibilities.</li> <li>- Reputational damage to the Council.</li> <li>- Negative stakeholder relationships</li> <li>- Potential for increase in the number of insurance claims</li> </ul>	<ul style="list-style-type: none"> <li>- Regular reporting from Internal Audit to Strategic Management Board. Approach to the annual corporate governance review revised and a more effective process established.</li> <li>- 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.</li> <li>- Risk is reported and controlled through Divisional Directors Operational Risk Registers (presented to the CMT each quarter) and these are underpinned by registers at Heads of Service level reviewed and discussed at Divisional Management Teams quarterly.</li> <li>- Regular inspections and reports by the Health and Safety team with all actions being followed up within a reasonable time. A process of more regular reporting to Corporate Management Team on health and safety matters is underway</li> <li>- Significant change to the absence management policy and procedure rolled out</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>- Continue to review and reinforce key standards and policies via regular communication.</li> <li>- Ensure Managers are appropriately trained and requirements are clearly set out in Job Descriptions and reinforced via appraisals.</li> <li>-Ensure Internal Audit findings are acted on in a timely manner.</li> <li>- Strategic monitoring and reporting in relation to Health &amp; Safety being reviewed to raise profile and ensure responsibilities are reinforced from the top.</li> <li>- Consider the creation of a policy schedule to maintain an overview of all Council policies.</li> <li>- Review new absence management procedures after 12 months</li> </ul>	4	2	8		Kamal Adatia / Miranda Cannon	31/3/2016 and On-going

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<b>6. SAFEGUARDING</b> 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"> <li>- Death or serious injury.</li> <li>- Serious case reviews initiated.</li> <li>-Reputational damage to the Council.</li> <li>- Citizens lose confidence in the Council.</li> <li>- Negatively impacts on relationships with stakeholders.</li> <li>- Impacts severely on staff morale</li> <li>- Leads to high turnover of social workers and managers.</li> </ul>	<ul style="list-style-type: none"> <li>- Safeguarding Adults and Children's Boards in place.</li> <li>- Regular reviews of policies/procedures and close supervision of staff.</li> <li>- Range of quality assurance processes exist within the Divisions.</li> <li>- Range of developments, including corporate training, exist within the Divisions to manage, support recruit and retain staff.</li> <li>- Improvement Board established following the Ofsted inspection and other arrangements eg Performance Board set up</li> <li>-24/7 Duty and Advice Service in place (and identified as a strength by OFSTED).</li> </ul>	5	3	15	<ul style="list-style-type: none"> <li>- Board performance and framework development.</li> <li>- Chair of Board has direct accountability through Chief Operating Officer.</li> <li>- Regular bi-annual meetings with Mayor and Adults and Children's Lead Members.</li> <li>- Full implementation of all necessary improvements identified via the Ofsted inspection of Children's Services</li> <li>- Review of assessments and plans following OFSTED to ensure all are 'good enough quality', to include training of staff as appropriate.</li> <li>-Social work electronic recording system will be developed by xx/xx/2015.</li> </ul>	5	2	10		<b>Andy Keeling</b> <b>/Frances Craven</b>	31/3/2016 and On-going

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<b>7. SCHOOL IMPROVEMENT</b>	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	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 targetted work with schools	4	4	16	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	4	2	8		<b>Frances Craven</b>	31/3/2016 and On-going



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<p><b>8. CIVIL CONTINGENCY RESPONSE/INCIDENT RESPONSE</b></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>	<p>- 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.</p> <p>- Having sufficient financial resources and flexibility to address these challenges becomes increasingly difficult.</p> <p>- Having sufficient assets/contingency arrangements.</p> <p>-Lack of resources could lead to inadequate response .</p> <p>- Impact on the publics health and wellbeing, safety/housing needs etc.</p> <p>- Adverse impact on budget</p> <p>- Reputational impact</p> <p>- Death/injury</p> <p>- Potential for increase in the number of insurance claims</p> <p>- negative relationships with stakeholders</p>	<p>- Corporate Management of this is outlined in the carbon action plan which covers all areas of management activity across the Council and its partners to reduce carbon.</p> <p>- Implementation is monitored through a carbon management board. Day to day management of climate change responsibility rests with the Operational Directors and their Heads of Service.</p> <p>- Risk is reported and controlled through the Divisional Directors Operational Risk Registers (presented to Corporate Management Team each quarter) and these are underpinned through regular reviews as part of the revised Eco-Management Audit Scheme (EMAS) system.</p> <p>- Local Resilience Forum (LRF) county wide partnering arrangement.</p> <p>- Leicester City Council (LCC) is part of the Resilience Partnership of local authorities in LLR</p> <p><b>LLR Health Protection Committee coordinates health protection response across LA/PHE/NHS</b></p>	4	3	12	<p>- 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.</p> <p>- LRF and Resilience Partnership arrangements continue to be reviewed. Robust schedule of plan reviews and training in place and agreed via the LRF</p> <p><b>LLR-wide Health Protection Committee arrangements under review to provide assurance around management of health protection risks/ incidents and outbreaks</b></p>	4	2	8		<p><b>Miranda Cannon / Alison Greenhill/ Ruth Tennant</b></p>	31/3/2016 and ongoing



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<p><b>9. RESOURCE: CAPACITY, CAPABILITY, RETENTION &amp; DEVELOPMENT</b></p> <p>Lack of workforce planning and appropriate development of managers and employees leaves the Council exposed to service failure. 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>	<ul style="list-style-type: none"> <li>- The Council does not have the right skills, behaviours and competencies in terms of the workforce to deliver the city's vision and priorities.</li> <li>- The Council fails to maximise the potential of its key resource.</li> <li>- Staff become demotivated/are under pressure which has an impact on productivity and delivery across the Council.</li> <li>- Disruption to service delivery.</li> <li>- Impacts on continuity of services. Creates risks in delivery because information on processes/procedures etc is lost</li> <li>- Service demands may not be met.</li> <li>- Reputational damage.</li> <li>- Financial impacts.</li> <li>- Drain on resources</li> </ul>	<ul style="list-style-type: none"> <li>- Human Resources (HR) review has built in capacity for longer-term workforce planning and a more strategic approach. Strategic HR work programme agreed which captures this.</li> <li>- Talent match (internal jobs market) now being rolled out across the Council and running for a pilot period</li> <li>- HR Workforce Planning Team actively involved in supporting areas where there are existing pressures eg children's services</li> <li>- Organisational vision and values currently being finalised to support many aspects of organisational management and staff engagement</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>- Continue to develop the Council's workforce planning approach and fundamentally review how workforce development will support this in future.</li> <li>- Consider retention mechanisms and succession planning.</li> <li>- Roll out vision and values across the organisation and embed in ways of working</li> </ul>	3	3	9		<b>Miranda Cannon</b>	31/03/16 and ongoing



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<p><b>10. CONTRACT MANAGEMENT &amp; PROCUREMENT</b></p> <p>Contract management protocols/procedures are not robust and there is lack of understanding/ awareness within the Council. Service areas may exercise partnership arrangements/ collaborative agreements where formalised/legal contracts are not in place and possibly these may not be legally binding.</p>	<ul style="list-style-type: none"> <li>- Reputational damage.</li> <li>- Financial impacts; valuable funding is used for rectification of issues.</li> <li>- Increase in staff resources to defend a challenge.</li> <li>- Potential for litigation and fines being incurred.</li> <li>- Contract service level agreements may not be adhered to.</li> <li>- The Council does not receive value for money for the services it procures.</li> <li>- The Council is challenged in the reduction of contracts when re-tendered.</li> <li>- 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.</li> </ul>	<ul style="list-style-type: none"> <li>- Revised and improved Contract Procedure Rules now in place along with associated guidance.</li> <li>- Policy that all procurement over a de minimis threshold must be carried out by one of the specialist procurement teams.</li> <li>- Professional procurement staff recruited and now in post</li> <li>- Contract Risk Management training available from RMIS</li> <li>- Engagement with local supplier groups</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li>- Development of new procurement template documentation</li> <li>- Implementation of new electronic tendering system</li> <li>- Professional training for procurement staff (MCIPS)</li> <li>- Training in procurement and contract management for staff across the Council</li> <li>- Enhanced engagement with local business to widen portfolio of potential suppliers</li> <li>- Development of communications plan to ensure all staff are informed of above as appropriate to their role.</li> </ul>	3	3	9		<b>Alison Greenhill</b>	13/03/2016



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<b>11. ASSET MANAGEMENT</b> Absence of an asset management strategy will affect the future conditions/status of buildings.	<ul style="list-style-type: none"> <li>- Reputational damage.</li> <li>- Increase in costs.</li> <li>- Loss of predicted revenue.</li> <li>- Deterioration of assets.</li> <li>- Potential harm to the public.</li> <li>- New business are not attracted to Leicester.</li> <li>- The council's assets may fall into disrepair losing income and increasing maintenance costs. In a worse case scenario assets may be totally lost and community engagement too.</li> </ul>	<ul style="list-style-type: none"> <li>-A single corporate asset management system is now in place.</li> <li>-Annual Planned Maintenance Programme is in place to cover the most urgent health and safety issues in the estate.</li> <li>-Central Maintenance Fund is available to address urgent repair items in the estate.</li> <li>-Phases one and two of the central accommodation strategy have been effectively implemented which has significantly reduced the backlog maintenance issues in the estate.</li> <li>-Transforming Neighbourhood Services review in place to reduce the level of backlog maintenance issues in the neighbourhood estate.</li> <li>-Building Schools for the Future (BSF) and Primary programmes are proceeding on course with a new Hard Facilities Management Offer for BSF Phase 3-6 using local contractors being concluded.</li> <li>-Condition surveys have now been completed for all neighbourhood and leisure assets</li> </ul>	5	4	20	-Phase 3 Accommodation Strategy nearing completion. Plans for Phase 4 are underway. - Establishment of a corporate asset management group. - Implementation of Transforming neighbourhood services - Continued development of effective planned maintenance programme - performance measurement in place to provide assurance regarding compliance- concerto being established and populated to work as the single corporate asset management system	5	3	15		Frank Jordan	31/12/2015

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<b>12. NATIONAL AGENDA/CHANGES IN LEGISLATION/ GOVERNMENT ETC</b> 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"> <li>- Loss of income.</li> <li>- Services may not be delivered.</li> <li>- Reputational damage.</li> <li>- The budget may not be sufficient to deliver the expected service demand.</li> <li>- Statutory services. such as public health may be reduced and or the Council is unable to protect and safeguard the public, vulnerable individuals etc.</li> <li>- Implementation of unpopular fees for services required by the Public of the Council.</li> <li>- The health and wellbeing of the City may be impacted.</li> <li>-Causing service failure or significant cost over runs.</li> </ul>	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	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	31/03/2016



