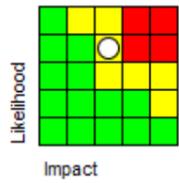
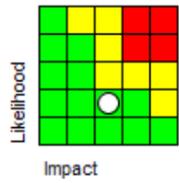
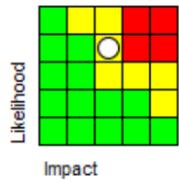
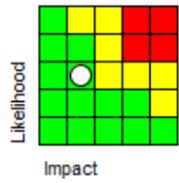
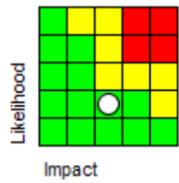


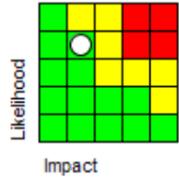
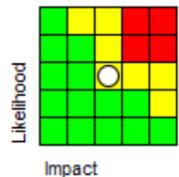
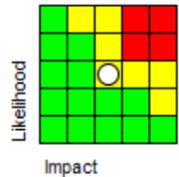
SERVICE ENABLING RISK REGISTER (OCTOBER '17)

Appendix 1

Risk Code & Title and Description	Original Assessment	Internal Controls	Current Assessment	Mitigating Actions	Responsible Officer(s) & Next Review Date
<p><i>FRCS1617 - 1 Resourcing</i></p> <p>If resourcing (either financial or non-financial) is inadequate then increasing customer demand will not be met to a high standard and on time.</p>		<ul style="list-style-type: none"> - Effective budget planning - Succession planning - Training & development for staff - Implementation of transformation programme to improve efficiency, maximise staff resources and manage demand 		<ul style="list-style-type: none"> - Fairer Funding campaign; - Development of further income streams (e.g. EDC, property investment fund) 	<p>FRCS DMT</p> <p>Jan 2018</p>
<p><i>FRCS1617 - 2 Value for Money</i></p> <p>If priorities are unclear and demand is excessive then value for money in the allocation and use of resources will be poor</p>		<ul style="list-style-type: none"> - Early engagement of FRCS staff in all major projects and key decisions; - Continual search for innovation and new ideas to enable limited resourcing to go further; - Objective/well considered advice to Members and other decision makers; - Effective planning and decision making; - A 5 year Culture, Leisure and Sport Strategy in place with clear priorities and an action plan to achieve those priorities; - Procurement & Commissioning Services and Customer Gateway / Assessment services centralised to focus and better manage resources/priorities; - Revenue regeneration - ICT service restructure to focus priorities; 		<ul style="list-style-type: none"> - Develop relationships as part of new business model; - IT development plan 	<p>FRCS DMT</p> <p>Jan 2018</p>
<p><i>FRCS1617 - 3 Market impact</i></p> <p>If demand increases (particularly for temporary accommodation) and/or resourcing is limited (for example for nursing care) and/or additional pressures such as the latest wave of housing benefit caps are experienced then service levels will not be met.</p>		<ul style="list-style-type: none"> - Key performance framework put in place; - Members kept fully abreast of ongoing service improvement; - Inter-hub / joint working optimised; - Effective management to ensure pressures are fully understood and acted on; - Procurement and Commissioning Board in place to provide clear focus on market development activity for bought-in goods and services 		<ul style="list-style-type: none"> - Market facilitation exercise to encourage supply of nurses; - "Think Customer" programme developed and being rolled out to staff throughout the Council; - Management development programme being developed to ensure managers are fully equipped to manage and lead services during period of austerity - Review of approach to homelessness to ensure all issues are being considered. 	<p>FRCS DMT</p> <p>Jan 2018</p>
<p><i>FRCS1617 - 4 Staffing</i></p> <p>If the impact of various factors such as change and increased demand is experienced then recruitment, retention, skills mix and performance of staff will be adversely affected</p>		<ul style="list-style-type: none"> - Regular communication from senior managers to all staff about LBE's strategic direction; - Effective use of iLearn for all staff to ensure all learning and development opportunities are taken; - Effective use of appraisal process, not just to remunerate staff, but also to develop and performance manage them; 		<p>Review of corporate development training.</p>	<p>FRCS DMT</p> <p>Jan 2018</p>
<p><i>FRCS1617 - 5 Controls & Assurance</i></p> <p>If controls are eroded during this period of considerable change and/or workload and uncertainty amongst staff group increases then risks will not be effectively managed resulting in objectives not being met</p>		<ul style="list-style-type: none"> - Effective working with external auditors to optimise audit resources available; - Effective audit programme and monitoring of implementation of recommendations to ensure second line of defence in assurance regime; - Ongoing anti-fraud activity; - Implementation of audit recommendations in line with agreed timescales; - Rolling risk-based continuous audit framework in place; - Clarified roles of all staff and hubs via the inter-hub working activity; - Review and re-write of the Council's Scheme of Delegation; 		<ul style="list-style-type: none"> - Sound business continuity and IT disaster recovery plans in place and regularly exercised to ensure Council has resilience against foreseen problems (WIP); 	<p>FRCS DMT</p> <p>Jan 2018</p>

SERVICE ENABLING RISK REGISTER (OCTOBER '17)

Appendix 1

Risk Code & Title and Description	Original Assessment	Internal Controls	Current Assessment	Mitigating Actions	Responsible Officer(s) & Next Review Date
<p><i>FRCS1617 - 7 Information Security</i></p> <p>If the Council is subjected to individual or sustained cyber aggression then there is a risk that personal, private and/or sensitive information is released resulting in financial and/or reputational damage to the Council, staff, members, residents or businesses for whom we hold electronic information.</p>		<ul style="list-style-type: none"> - PSN (Public Services Network) annual security compliance audit; - Penetration testing of all changes to the IT infrastructure and software applications; - IT Security Officer – oversight of changes across the IT estate; 		<p>Actions in Cyber Security Audit review are progressed and this has been reported to next audit committee; Cyber Security Audit review completed and submitted to CMB. Processes for Incident Management and response produced; governance structure & policy produced; self-service password reset process changed. GDPR policy reviews progressing, but work producing information to ensure compliance and data use documentation has been delayed by recruitment process. PCI compliance review completed, Self-Assessment Questionnaire C submitted in August, identified areas of non-compliance are being addressed by the payments programme. PSN audit completed, Code of Connection submitted in August, PSN have confirmed LBE continue to be non-compliant; they have accepted our remedial action plan and have asked for monthly updates on progress.</p>	<p>FRCS DMT Jan 2018</p>
<p><i>CEX001 Adverse media relations</i></p> <p>If adverse media coverage is not monitored, responded to and mitigated effectively the reputation of the Council and borough could be damaged in the eyes of key stakeholders including residents, businesses, the Government, investors and developers. This in turn could impact on the local economy if the Council and the borough are not perceived as desirable places to live, work, enjoy, visit, spend money in, do business in, invest in and fund.</p>		<ul style="list-style-type: none"> -Monitor local and national press and social media and respond in a timely manner; -Increased the number of positive media events; -Use of Experian data to target communications at particular groups of residents; -Maintained a robust forward plan 		<p>The Chief Executive's Unit will:</p> <ul style="list-style-type: none"> - Maintain effective monitoring and management systems; - Maintain effective response processes that allow Council to respond in an accurate and timely manner; 	<p>Chief Executive's DMT Jan 2018</p>
<p><i>CEX004 Workforce and Succession Planning</i></p> <p>The size of the combined HR & OD team has significantly reduced whilst the number of managers across the Council has also reduced. The rapid pace of these changes could increase the risk of knowledge, skills and resource gaps in the workforce and therefore an inability to effectively manage services.</p>		<p>A range of initiatives including:</p> <ul style="list-style-type: none"> - Shaping the Future management development programme and a graduate training programme to produce future leaders; - Secondments, job tasters and job swaps to encourage flexible working and broaden skills; - Flexible retirements agreed to retain and transfer knowledge to remaining staff; - Rigorous selection testing implemented in restructuring to ensure the right staff are retained; - Surveys carried out on Hub delivery to assess fitness for purpose; - Delivery of Hubs so far includes Learning and development, Policy Team and Operational Support. 		<p>This remains under review as the Council's transformation programme continues and initiatives are developed to ensure we have a workforce which is fit for purpose.</p>	<p>Chief Executive's DMT Jan 2018</p>

