



Dir	Potential risk areas	Score without controls		Summary of existing controls and mitigations	Score with controls		What else do we need to do? By whom and by when?	Lead officer on actions	Review date
		Impact	Likelihood		Impact	Likelihood			
OCE	<p><b>Lancashire Local Enterprise Partnership (LEP)</b></p> <ul style="list-style-type: none"> <li>- Need to establish a single economic voice for Lancashire</li> <li>- Need to engage key business leaders in shaping and delivering agreed economic priorities</li> </ul>	3	3	<p>Economic Development Framework agreed</p> <p>Shadow business leadership group in place</p> <p>Majority of local authorities in support of Lancashire LEP</p> <p>Draft LEP governance arrangements in development</p>	2	2	<p>Continue to engage positively with private sector business leaders</p> <p>Continue to make the case to Government for formal LEP approval</p>	Martin Kelly, Director of Economic Development	Ongoing
ELT / CCG	<p><b>The Authority to effectively manage the consequences of an emergency, thereby impacting on the delivery of services.</b></p>	5	3	<p>The Authority has established a governance mechanism through the Corporate Contingencies Group (CCG) to oversee the strategic issues relating to Business Continuity Planning (BCP).</p> <p>There is a planned roll-out of BCP throughout the Authority in order to build resilience within services.</p> <p>A reporting system has been established through the Directorate structures to enable the Authority to capture the impacts from Emergencies on Service delivery and to take the appropriate actions to mitigate the effects on service users (i.e. public).</p> <p>Directorate Emergency Liaison Team established within ACS and currently being developed for CYP &amp; ENV.</p>	3	3	<p>Complete the roll-out of Business Continuity Planning to all services within the Authority and complete the establishment of Directorate Emergency Liaison Team to increase the ability of Directorates to respond to, and manage, emergencies which affect service delivery.</p>	CCG / ELT	April 2011
OCE / PU	<p><b>Review of Locality Working</b></p> <p>Uncoordinated integrated working initiatives with District Councils</p> <p>Not capitalising on</p>	3	3	<p>Strategy Group established by Executive Director of Policy including Senior Directorate and District Council representatives</p> <p>On-going liaison with Leadership and facilitation of Leader – Leader discussions</p>	2	2	<p>Need to successfully conclude current round of joint member meetings to agree joint working priorities in each district – by February 2011</p> <p>Arrange initial meetings of the pilot "Three Tier Forums" in Burnley,</p>	Deborah Ashton Executive Director of Policy	Quarterly

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	<p>opportunities to work across tiers of local government in Lancashire to achieve efficiencies and/or improved service outcomes</p> <p>Financial, legal or reputational implications not fully considered or addressed</p> <p>Frontline county councillors feel disengaged when carrying out their role</p> <p>Lack of clarity around direction of travel with locality working</p>			<p>On-going negotiations with District Councils, including joint discussions at Leader/Executive Member level</p> <p>Legal and Financial advice to the Strategy Group</p> <p>Package of measures developed to enhance the role of County Councillors, in liaison with the Member development Working Group</p> <p>Report approved at Cabinet 4/11/10 on key elements of way forward, including governance and engagement of all tiers of local government</p> <p>Package of internal and external communications measures implemented November 2010</p>			<p>South Ribble and Wyre by February 2011</p> <p>Roll out of Three Tier Forums by April 2011</p>		
OCE / PU	<p><b>Voluntary Community Faith Sector</b> (VCFS) Sustainability of Third Sector Lancashire (VCFS consortium): no structure through which to facilitate strategic engagement of the sector</p> <p>Breach of compact principles leading to a challenge for breach resulting in bad reputation and time and resources responding to challenge</p>	<b>3</b>	<b>2</b>	<p>A named LCC officer directly supports and advises the Chair of the Third Sector Lancashire (TSL)</p> <p>By ensuring that all directorates are fully aware of compact and understand the implications of a breach of the agreement</p> <p>By setting up internal network of commissioning/procurement teams to ensure understanding and application of third sector principles etc</p> <p>By ensuring that the financial database is able to deliver reports on full extent</p>	<b>2</b>	<b>1</b>	<p>Principal Policy Officer CPT continues close relationship with Chair TSL.</p> <p>Information sharing event to be held in October 2010. Event held November 2010. Now awaiting publication of revised national compact prior to further internal review and communication.</p> <p>Information sharing event to be held in October 2010. Core network of relevant officers identified via attendance at information sharing event November 2010. Directors of</p>	Adrienne Banks	Ongoing

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	<p>Increased involvement of the sector in public service delivery: the risk is not yet clear and is dependent on the extent to which coalition expect to see evidence of more third sector commissioning</p> <p>Uncoordinated approach to funding leading to the possibility of double funding and missed opportunity for joint commissioning and efficiency savings</p> <p>Increased involvement of the VCFS in public service delivery – risk = lack of capacity/capability within the sector to respond</p> <p>Competition aid i.e. giving core grants to organisations who are tendering for services – risk = possible legal challenge fro other VCFS or private sector organisation on the grounds of unfair advantage in competitive market</p>			<p>financial investment to any VCFS organisation and developing new processes for joint commissioning across directorates</p> <p>By reviewing our investment in capacity building to include capability building as well.</p> <p>By ensuring that core grants are not awarded to organisations who are already delivering services on our behalf or are likely to submit a competitive tender</p>			<p>commissioning across authority now agreeing a general approach to commissioning prior to developing a VCFS commissioning framework</p> <p>Process for tagging VCFS organisations is in progress, but there is still work to do in the accounts payable area. This work is continuing and will be considered as part of the review of commissioning as described above</p> <p>Undertake a full review of investment in capacity building and develop proposals for how capability can be developed. This review is continuing and has led to changes to the central gateway programme in relation to funding infrastructure groups. Capacity building will be an integral element of the VCFS commissioning framework.</p> <p>Undertake a critical analysis of current core funding grants and then consult across the authority on the implications of withdrawing this kind of support. This analysis has been carried out and the outcome is reflected in a new approach to core funding VCF organisations via the Central Gateway grants programme.</p>		
ACS	<b>Failure of the working partnership between Adult Community Services and health:</b> strategic and operational	<b>4</b>	<b>4</b>	Working more closely with partner organisations in light of changes in government policy, introducing stronger Partnership agreements and looking at joint Project Governance	<b>2</b>	<b>3</b>	Commissioning to prioritise areas where health funding is crucial to delivery of our priorities, secure senior management support within health for the priority areas and	Tony Pounder	Sept 11

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	failures and negative publicity			<p>arrangements.</p> <p>Collaborating on service delivery with, for example, joint funded posts and integrated delivery teams and the introduction of Public Health within the authority</p> <p>Collaborating on projects with shared project plans and objectives.</p> <p>Prioritising strategic work with new working arrangements in health to maintain ongoing relationships</p>			<p>develop contingency plans in the event of failure.</p> <p>Consider the publication of new government white papers and the implications for ACS and Health and establish change programmes to ensure delivery</p>		
ACS	<b>Market failure of Adult and Older People provider services</b> – market withdrawals and take-overs leading to reduced capacity for choice.	<b>4</b>	<b>3</b>	<p>Developing robust commissioning and procurement planning systems and strategies which ensure the current and future market is understood and themes are identified for development.</p> <p>Working with providers in identifying their service offer and costs, changes in requirements and areas which might lead to business failure. Development of a preferred supplier list and provider engagement strategy</p> <p>Framework agreements set up with providers providing a broad market across small, medium and large providers which mitigates some of the risks if a provider ceases business</p>	<b>4</b>	<b>2</b>	<p>Using and evaluating an information framework to improve intelligence on market changes, budgetary issues and use of monitoring information.</p> <p>The development and monitoring of more flexible contracting arrangements which assist the use of individual budgets and cut out unnecessary costs from the system</p>	Ann Mylie	May 11
ACS	<b>Recession combined with increased call on budgets on Older People and changing demographic profile (ageing population) leading to increased requirements for services.</b>	<b>4</b>	<b>5</b>	<p>Medium Term Financial planning in place.</p> <p>Robust forecasting tools. Robust and regular Budget monitoring.</p> <p>Well developed financial reporting systems.</p> <p>Careful monitoring of work programmes. Redirection of resources where necessary.</p>	<b>3</b>	<b>5</b>	<p>This risk is now an issue as we await the understanding of what the Government's cuts in budgets means for the Directorate</p> <p>Regular reporting and monitoring by ACS Combined Finance Team and up to Senior Management Team (SMT).</p>	Roger Hulme	March 11

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							<p>Contingency planning with Heads of Service and agreement with SMT.</p> <p>Discussions with ELT and Cabinet member on proposals.</p> <p>Consultations with the public commencing on service cut proposals.</p>		
ACS	<b>Unexpected death or serious injury of service user with Adult Community Services</b>	<b>5</b>	<b>3</b>	<p>Safeguarding Board and Governance in place, Safeguarding Project established, with an Action Plan. Safeguarding Procedures have been refreshed.</p> <p>Procedures in place should something happen, including Communications unit available to deal with any public information / communication issues.</p> <p>In House-Providers: comprehensive set of Risk Assessments and Health and Safety Procedures in place.</p> <p>Staff training programme in place to raise practice standards in safeguarding and familiarise with procedures</p> <p>Deprivation of liberty (DoL) work, like restraint etc training courses, procedures well established</p> <p>Arrangements to review serious cases, including domestic homicide reviews safeguarding on a multi agency basis, so that we can all learn when things go well</p>	<b>5</b>	<b>2</b>	<p>Continue roll out of Safeguarding and Awareness Training.</p> <p>Complete the Safeguarding Project Action to further improve Safeguarding arrangements and responses.</p> <p>Approval of Item: Principals of the Mental Capacity Act (MCA) and Dols need to be embedded for people living in their own homes or Supported tenancies. Sufficient capacity and financial funding from the MCA Grant needs to be made available to operations.</p>	Olive Carroll (Mike Banks)	March 11
ACS	<b>Death or serious injury of staff member working within Adult Community Services</b>	<b>5</b>	<b>3</b>	<p>For work with service users: Lone Worker Policy, Risk Assessments and Health and Safety Procedures in place. Robust on call arrangements, use of mobile phones and safety</p>	<b>5</b>	<b>2</b>	<p>Review of framework for all SU related risk assessments to be undertaken as part of Personal Social Care (PSC) work programme: an interim review has</p>	Olive Carroll (Barbara Lewis)	March 11

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				alarms. Use of virtual whiteboard to track staff whereabouts and monitor returns. Handover arrangements to brief staff of potential problems.  PSC Quality Framework project has embedded changes and improvements into PSC working practices. This project completes Jan 2011.  Risk Assessment flag in Integrated Social Services Information System  For worker self harm: Use of Occupational Health Unit (OHU) assessment where medical conditions exist, return to work procedures for staff who have medical problems.			been done, but once Self Directed Services (SDS) and the PSC restructure is complete, they will be reviewed and updated again.  All PSC team lone-worker policies to be reviewed in the context of Agile Working.  PSC Quality Framework recommendations need to be fully embedded. This project completes Jan 2011.		
LCCG	<b>Public sector spending cuts leading to threats to workload within the county commercial group services</b>	<b>3</b>	<b>5</b>	Being flexible to reduce fixed costs. Good capacity mgt. Review of Options.	<b>3</b>	<b>4</b>	Awareness, cost reduction and efficiency measures. Development of Options.	Nigel Finnamore	Ongoing
LCCG	<b>Sustainability post Equal Pay Review within Commercial Services</b> - increased costs - disaffected employees - impact on costs and competitiveness	<b>3</b>	<b>4</b>	As above Working with Equal Pay Review team so implications of proposals clear Sustainability and affordability for directorates will be considered	<b>3</b>	<b>3</b>	Identify measures to be taken to mitigate costs.	Nigel Finnamore / Bernard Noblett	Ongoing
LCCG	<b>Serious Health and Safety Service Failure</b> (including food hygiene) potentially involving:  - employee - someone in our care - member of public  <b>Costs associated with accidents</b> (fines,	<b>5</b>	<b>4</b>	Existing Integrated Management System with areas of the organisation 3rd part registered to OHSAS 18001.  Other part of the organisation operating management systems in accordance with OHSAS 18001.  Audits by IMS team  Competency based training in	<b>5</b>	<b>3</b>	Review of Integrated Management Systems to simplify, integrate and to reduce bureaucracy and increase accessibility via the intranet*. Action By MDS (Dec 2012)  Revision of Catering procedures to determine suitability. Action By Janette Mason / IMS (Jan 2011)	Nigel Finnamore  Catering SMT	Quarterly  Quarterly

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	litigation, insurance costs), business disruption, LCCG's reputation. Resulting in reduced profitability e.g. impact of Corporate Manslaughter and Corporate Homicide Act – Larger fines, publicity orders and impact on future business.			<p>Operations.</p> <p>Health and Safety Performance reported at all Senior Management Teams.</p> <p>Greater emphasis on incident reviews and lesson learned. IMS team's audit schedule with increased audits and non conformance close outs monitored and trends analysed. Hazard Analysis and Critical Control Point for School and Care Catering</p>			<p>Improved Health and Safety Performance data management through development of Incident reporting software. Action By MDS / BIS (Apr 2011)</p> <p>IMS Business Plan to address main health and safety issues Action By MDS (Apr 2011)</p>	<p>Nigel Finnamore</p> <p>Nigel Finnamore</p>	<p>Quarterly</p> <p>Monthly</p>
	<p><b>Adverse impacts of weaknesses in quality or security of information, information systems or information handling within the organisation, in electronic and paper forms.</b></p> <p>Adverse impacts may include</p> <ul style="list-style-type: none"> <li>• Financial cost</li> <li>• Service delivery failures</li> <li>• Damage to individuals</li> <li>• Reputation damage</li> <li>• Effect on legal proceedings</li> </ul>	<b>4</b>	<b>4</b>	<p>Corporate Information Governance Group</p> <p>Directorate information Champions</p> <p>Guidance, policies and procedures on Intranet and in e-Learning Course.</p> <p>Management processes in place and in business planning process.</p> <p>Security controls and encryption protection</p> <p>Statements of conformity, spot checks and security breach procedures.</p>	<b>3</b>	<b>3</b>	<p>Annual Information Risk Review underway.</p> <p>External review of all governance documentation</p> <p>Technical infrastructure review underway plus penetration testing.</p> <p>Data Quality Strategy Statement of Conformity returns being collected.</p> <p>Large intranet site full of guidance: <a href="http://lccintranet2/corporate/web/view.asp?siteid=4305">http://lccintranet2/corporate/web/view.asp?siteid=4305</a></p>	SIRO + CIGG	June 11
	<p><b>Failure to comply with Information Governance requirements</b> e.g. Freedom of Information Act, Data Protection Act</p> <p><b>Legal penalties in the event of breaches of</b></p>	<b>4</b>	<b>4</b>	<p>Management controls, including effective logging and tracking, complaints and appeals procedures</p> <p>Effective use of technology</p> <p>The Publication Scheme has been reviewed and updated, and the model publication scheme approved by the Information Commissioner adopted.</p>	<b>3</b>	<b>3</b>	<p>Some staff training and awareness sessions have taken place with many more still to take place.</p> <p>The work load of the Access to Information Team continues to increase due to the growing number of Freedom of Information requests and Data Protection enquiries/subject access requests.</p>	SIRO + CIGG	June 11



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	<b>Data Protection Act</b> e.g. Civil Monetary Penalty, potentially up to £0.5million						Additional resources for the team are being considered Directorate IG champions to be vigilant looking for examples of data misuse in particular that data is: 1. Fairly and lawfully processed 2. Processed for limited purposes 3. Adequate, relevant and not excessive 4. Accurate 5. Not kept longer than necessary 6. Processed in accordance with the data subject's rights 7. Secure 8. Not transferred to countries without adequate protection. CIGG to review security breach records from security breach procedure and look for trends and issue action plans and guidance accordingly		
CYP	<b>Death or serious injury of a child known to us, or who have been known to us as a result of systemic failure</b>	<b>5</b>	<b>3</b>	Multi-agency safeguarding children Board Arrangements in place and safeguarding children procedures updated. Mechanisms in place Closely monitor referrals and assessments and children subject to Child Protection Plans Provide training and support to staff including multi-agency training Child death and Serious Case Review Panels in place to learn lessons and disseminate learning to practitioners and managers Monitor Educational Visits and policy and guidelines in place	<b>3</b>	<b>3</b>	Continued implementation of service and post inspection action plans Multi-agency conferences disseminating lessons from Serious Case Reviews both within Lancashire, regionally and nationally. Complete roll out of Contact and Referral Team to improve responses to referrals and improve assessments. Continue to improve information sharing between agencies via training and agreed procedures and protocols. Continue to explore integrated and co-located multi-agency teams to improve assessments and information sharing between agencies.	Tony Morrissey Head OF Safeguarding Inspection & Audit	Ongoing

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CYP	<b>Failure in performance in schools and other educational settings</b>	4	5	Quality Audit Tool used by Early Years (EY) consultants with EY settings. Early warning system identifying schools/settings at risk of failure on wide range of factors. Settings where there are concerns are monitored and supported by the Early Years Special Support Group. Schools where there are concerns relating to Finance, Personnel, Governance, Standards, Quality of Education are reported to, monitored and supported by the Directorate Special Support Group. Contracts of support are provided for schools in difficulty including school to school support. Review the Early Warning systems in the light of the new Ofsted Framework for Inspection (Head of QCI March 2010).	2	4	Develop the Early Years Workforce so that all settings have an accredited Early Years Professional in post by 2015 (Head of QCI). Develop the support/challenge / monitoring arrangements for Children's Centres as they become established and subject to Ofsted inspection (Head of QCI July 2010). Further develop school to school support programmes through collaborations / federations, particularly where appointment of head teachers is problematic (Head of QCI/D&I July 2010).	Ann Pennell Director for Commissioning, Performance and Business Support	Ongoing
CYP	<b>Workforce recruitment and retention</b> within Children's services-capacity to undertake workforce planning; shortages of key skills/workers/leaders; low levels of workforce well-being & poor retention; lack of key leadership competencies; lack of training & development opportunities	3	3	<ul style="list-style-type: none"> <li>• Children's Workforce Strategy in place. Implementation underway</li> <li>• Common workforce data collection undertaken</li> <li>• Leadership development programme underway</li> <li>• Development of career pathways across sections of the Directorate</li> <li>• Range of initiatives in place for work-based recruitment – teachers (GRTP), social workers, apprentices &amp; graduate trainees</li> <li>• Range of training &amp; development opportunities to support retention and progression</li> <li>• Flexible working arrangements in place</li> <li>• Range of staff well-being schemes across Directorate</li> <li>• Talent Pool programme in place.</li> </ul>	2	1	<ul style="list-style-type: none"> <li>• Continue development and implementation of Children's Workforce Strategy</li> <li>• Implement change programme projects</li> <li>• Managing budget/staffing reductions through a managed process of restructuring</li> <li>• Transition CYP Change Programme to Continuous Improvement Programme</li> </ul>	Dave Carr, Head of Efficiency and Business Support	Ongoing
CYP	<b>Inspection failure</b> in limiting judgement area	4	3	Post inspection action plans in place monitored by DLT	3	2	Partnership Board with other agencies being established to look	Ann Pennell Director for	Ongoing

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	relating to services to children, young people and families which leads to failure in performance of the County Council as a whole			Inspection preparation groups in place Mock inspections being undertaken Service plan and performance management framework in place Audit team established			at undertaking multi-agency mock inspections	Commissioning, Performance and Business Support	
OCE	<b>Equal Pay Review</b>  leading to:  - serious industrial action;  - significant numbers of tribunal claims;  - difficulties in retaining staff;	<b>4</b>	<b>5</b>	A Collective Agreement has now been signed by the main trade unions agreeing to most of the new terms and conditions introduced wef 1 August 2010.  On-going dialogue with trade unions and continuing communication with staff.  Ongoing communications with schools to keep them engaged and informed	<b>2</b>	<b>2</b>	Continue communication with staff groups affected and trade unions.  Continue engagement of senior managers to ensure consistent messages are given and communicated to staff.  Continue and complete the JE appeals process.  Complete JE for special and chief officer grades.  Complete JE for other staff groups e.g. soulbury grades.	Deputy County Secretary and Solicitor	Quarterly
ENV	<b>Surface water flooding.</b>  LAs now responsible for surface water management (Flood and Water Management Act April 2010)	<b>2</b>	<b>4</b>	Ongoing development of Surface Water Management Plan for Lancashire. Development of prioritised and targeted action to reduce risk.	<b>2</b>	<b>3</b>	Re-prioritise capital funding. Develop in-house expertise.	Jo Turton, Executive Director	Six - Monthly
ENV	<b>Loss of highway infrastructure due to flooding</b>	<b>3</b>	<b>2</b>	Regular inspections currently being undertaken on all highway bridges. "Structures at Risk Register" being developed with increased frequency of inspections on these highway structures. Special Inspections of "at-risk" highway structures being undertaken immediately following localised high rainfall events.	<b>3</b>	<b>1</b>	Close monitoring of risk via service risk register (ongoing)	Jo Turton, Executive Director	Annually
ENV	<b>Failure of Waste PFI Contract</b> - financial and reputation risk.	<b>2</b>	<b>2</b>	Weekly, Monthly, Quarterly and Annual monitoring and reconciliation of data and performance against both diversion and financial targets.	<b>2</b>	<b>1</b>	Close monitoring of risk via service risk register (ongoing)	Jo Turton, Executive Director	Six - Monthly

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				Maximising throughputs and exploring commercial opportunities from various sectors will aid in the challenge to effectively manage baseline costs.					
ENV	Corporate Manslaughter on highway	1	1	Highway safety inspections (3,6 or 12-monthly as appropriate) .Annual skid resistance surveys. Bi-annual bridge inspections. Monitoring of highway slopes and embankments.	1	1	Close monitoring of risk via service risk register (ongoing)	Jo Turton, Executive Director	Six - Monthly
ENV	Failure of Public Transport Contracts - financial and reputation risk	2	2	Public transport operators closely monitored. Where appropriate, contingency measures are put in place allow us to replace contracts quickly and efficiently should the need arise.	2	1	No further action proposed	Jo Turton, Executive Director	Six - Monthly