



Leicester
City Council

MEETING OF THE AUDIT AND RISK COMMITTEE

DATE: THURSDAY, 13 JUNE 2013

TIME: 5:30 pm

**PLACE: THE OAK ROOM, GROUND FLOOR, TOWN HALL, TOWN
HALL SQUARE, LEICESTER.**

Members of the Committee

Councillor Westley (Chair)

Councillors Desai, Dr. Chowdhury, Meghani, and Dr. Moore
2 Non-Grouped Member Vacancies

Members of the Committee are invited to attend the above meeting to consider the items of business listed overleaf.

for Monitoring Officer

Officer contact: Angie Smith
Democratic Support, Democratic Services
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General Enquiries - if you have any queries about any of the above or the business to be discussed, please contact Angie Smith, Democratic Support on 0116 229 8897 or email Angie.Smith@leicester.gov.uk or call in at the Town Hall.

Press Enquiries - please phone the Communications Unit on 0116 252 6081

PUBLIC SESSION

AGENDA

**1. TRAINING SESSION PRIOR TO MAIN MEETING –
HOW TO BE AN EFFECTIVE AUDIT & RISK
COMMITTEE**

Training will be delivered by the Head of Internal Audit & Risk Management, and the Internal Audit Manager.

The training session will be held from 5.00 – 5.30pm.

2. APOLOGIES FOR ABSENCE

3. DECLARATIONS OF INTEREST

Members are asked to declare any interests they may have in the business on the agenda, and/or indicate that Section 106 of the Local Government Finance Act 1992 applies to them.

4. MINUTES OF THE PREVIOUS MEETING

Appendix A

The minutes of the meeting of the Audit and Risk Committee held on 9th April 2013, and the Special Audit and Risk Committee Meeting on 8th May 2013 are attached and the Committee is asked to confirm them as a correct record.

**5. RISK MANAGEMENT AND INSURANCE SERVICES -
UPDATE REPORT**

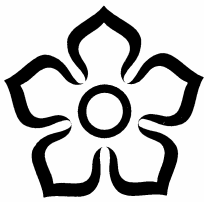
Appendix B

The Director of Finance submits a report that provides Committee with the regular update on the work of the Council's Risk Management and Insurance Services team's activities.

The Committee is recommended to receive the report and note its contents, and make any recommendations or comments it sees fit either to the Executive or Director of Finance.

6. ANY OTHER URGENT BUSINESS

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Leicester
City Council

Appendix A

Minutes of the Meeting of the
AUDIT AND RISK COMMITTEE

Held: TUESDAY, 9 APRIL 2013 at 5.00pm

P R E S E N T:

Councillor Westley – Chair

Councillor Dr Chowdhury Councillor Dr Moore
Councillor Grant

* * * * *

66. APOLOGIES FOR ABSENCE

With agreement, the Chair heard the agenda items out of order.

An apology was received from Councillor Wann.

67. DECLARATIONS OF INTEREST

Councillor Westley declared an interest in relation to business on the agenda, as he had family members who were council tenants.

68. TRAINING SESSION PRIOR TO MAIN MEETING - RISKS TO LEICESTER CITY COUNCIL ARISING FROM CHANGES TO THE BENEFITS SYSTEM

A training session on risks to Leicester City Council arising from changes to the benefits system was delivered by Caroline Jackson, Head of Revenue and Benefits prior to the main meeting. Members asked that a copy of the presentation be circulated after the meeting.

Caroline informed Members she would seek answers to questions raised by Members and respond to them accordingly.

69. MINUTES OF THE PREVIOUS MEETING

RESOLVED:

that the minutes of the meeting of the Audit and Risk Committee held on 7th February 2013, be agreed as a correct record.

70. VACANT PROPERTIES

Neil Gamble, Head of Estates and Asset Strategy, presented a report which provided the Committee with information on vacant surplus properties and their current status, and answered questions from Members.

Regarding section 3.2 in the report, Councillor Grant questioned the process of sale of properties, and whether the Council was receiving value for money from properties sold. He said Members had in the past received a report on properties for sale or those that had been sold, but there was no mechanism for Members to scrutinise sales. Neil responded that all property sales with a value in excess of £500,000, or that had not been openly marketed required an Executive Decision, and that all properties sold since 1st April 2011 were now listed on the Council's website. He said there were safeguards within the process to ensure that properties were sold at market value. Neil said the list of sales of property since 1st April 2011 could be brought to a future Committee meeting for Members' information.

Members asked why the old Post Office was to be sold and not used by the Administration given its proximity to the Town Hall. Neil said the building was surplus to requirements, and there were no current proposals to use other buildings in the area.

The Chair thanked Neil for the report.

RESOLVED:

1. that the report be noted.
2. that a report on sales of property since 1st April 2011 be brought to a future meeting.

71. ANNUAL REPORT - CERTIFICATION OF GRANTS AND RETURNS (GRANTS) 2011/12

The External Auditor presented a report that summarised the work of the auditor and findings from the Certification of Grants and Returns 2011/12. Members were asked to note the change of auditor appointment, with KPMG appointed as external auditor for 2012/13 onwards, with effect from 1 November 2012. Members were informed that some of the work was completed by the Audit Commission's Audit Practice, the Council's previous external auditor and their findings and recommendations were incorporated into the report.

It was reported that for 2011/12 two claims with a total value of £170million and four returns with a total of £121million were certified. It was reported the External Auditor issued unqualified certificates for four grants and returns, and two qualification letters were required: the results were in line with the results for 2010/11 where similar matters were identified. Minor adjustments were made to three of the Council's grants and returns, and the results were in line with the results for 2010/11 where minor amendments were required in relation to three grants and returns but had no significant impact upon the amounts

claimed.

It was reported the Council had good arrangements for preparing its grants and returns and supporting the External Auditor's certification work. The overall fee of £159,995 for the certification of grants and returns was greater than the original estimate of £136,000. The main cause of this was the work required on the Council's Housing Benefit Subsidy Claim, as 1,826 cases were tested, compared with the previous year's figure of 1,556 cases tested. The fee included £9,735 in respect of time spent responding to DWP queries regarding the 2010/11 claim.

Consideration was given to the remainder of the report, which covered the following areas:

- Summary of certification of work outcomes;
- Fees;
- Recommendations;
- Prior year recommendations.

Members asked to formally note they were interested in the prior year recommendations which were on-going, and asked that they be followed up, and information brought to a future meeting. They also asked that the formatting of the document be improved, with a larger font size.

RESOLVED:

1. that the report be noted.

72. POLICY FOR ENGAGEMENT OF EXTERNAL AUDITORS FOR NON-AUDIT WORK

The External Auditor presented a report on the policy for the engagement of the Council's external auditors for non-audit work. The policy was developed to safeguard the Council and would enable the engagement of KPMG for other non-audit work, whilst maintaining audit independence and objectivity.

The report defined the types of non-audit work and the associated approval process as follows:

- Statutory and audit-related work not requiring Audit and Risk Committee approval;
- Audit-related and advisory services requiring prior Audit and Risk Committee approval;
- Projects that are not permitted.

The report asked that the Audit and Risk Committee formally agree on an annual basis that it was satisfied with the structure, content and operation of the policy.

The report generated debate amongst Members, who asked for the report to be deferred until a future Committee meeting.

RESOLVED:

1. that the report be heard at the next Audit and Risk Committee meeting.

73. ANNUAL EXTERNAL AUDIT PLAN FOR THE PRESENT FINANCIAL YEAR 2012/13

The External Auditor presented a report that set out the audit plan for the external audit of the financial statements and the value for money conclusion for the 2012/13 financial year.

Members considered the report in detail, which covered the following areas:

- KPMG's audit approach
- Value for money audit approach
- Audit team, deliverables, timeline and fees.

It was reported that KPMG's audit approach was similar to that of the Audit Commission with four stages summarised in the report as follows:

- Planning
- Control evaluation
- Substantive procedures
- Completion

Members were asked to note the use of off-shore audit resources KPMG Global Services (KGS Audit) team in India to undertake certain basic audit tasks and functions. Members were assured that all IT data files were maintained on servers in the UK with restricted access

Members were also asked to note the audit fee included work on the Value for Money conclusion and audit of the Council's financial statements. The fee for 2012/13 represented a reduction of 40% compared with the 2011/12 fee, which was a significant reduction and would be a key challenge to achieve. KPMG would require information on agreed deadlines, but stated they would also need to be specific on information required from the Council.

The Chair thanked the External Auditor for the report.

RESOLVED:

1. that the report be received and approved.

74. RISK MANAGEMENT AND INSURANCE SERVICES UPDATE REPORT

The Director of Finance submitted a report which provided the Committee with the regular update on the work of the Council's Risk Management and Insurance Services team's activities. The Head of Internal Audit and Risk Management presented the report.

Members were impressed that a case that went to Court was successfully defended, which had allowed £750,000 to be released back to reserves, and showed the success of the CLEAR system analysis.

The Committee received the report.

RESOLVED:

1. that the report be noted.

75. INTERNAL AUDIT OPERATIONAL PLAN 2013/14

The Director of Finance submitted a report under Finance Procedure Rule 7.2.1., which presented to Committee the Internal Audit Operational Plan for the financial year 2013/14. Members were asked to note the draft plan had been submitted to the Audit and Risk Committee for consultation in February 2013. The Audit Manager, Internal Audit presented the report.

The Audit Plan was grouped into broad themes rather than listing individual audits, so as to allow flexibility but in a structure framework. Quarterly definitive lists would be brought to the Committee as part of the regular Internal Audit updates: these would show the specific audits planned alongside those completed. Members were informed of the included essential requirements of the Council's Internal Audit Plan as follows:

- Main financial systems;
- Contracts;
- Corporate governance;
- IT audit
- Children's Services establishments;
- EMAS (subject to the Council's continued accreditation).

The Committee received the report.

RESOLVED:

1. that the report be approved.

76. CORPORATE GOVERNANCE - ASSURANCE FRAMEWORK AND THE ANNUAL REVIEW OF THE COMMITTEE'S TERMS OF REFERENCE

The Director of Finance and the City Barrister & Head of Standards submitted a report which sought the Committee's approval of a codified structure for the corporate governance and assurance processes at the City Council. The Audit Manager, Internal Audit presented the report.

Members were informed the Assurance Framework, Local Code of Corporate Governance and the Committee's prescribed terms of reference had clear linkages and the Committee was asked to periodically review the documents to ensure they remained relevant and fit for purpose.

Members were asked to approve an addition to the terms of reference of the

Audit and Risk Committee, under 1.2 External Audit 'To approve any instances of non-audit work by the external auditors in accordance with the 'Policy for Engagement of External Auditors for Non-Audit Work' and report any such instances to the Council'.

The Chair queried the approval of the addition to the terms of reference as Agenda Item 7, Appendix D had not been approved. Members asked if there would be implications for the Council by not approving Agenda Item 7, Appendix D, or the terms of reference for the Audit and Risk Committee. Members were informed that by not approving the report or amendment to the terms of reference, it may prevent officers in the Council using KPMG with approval from the Audit and Risk Committee.

The Chair asked that the report be approved at 2.1 a) and 2.1 b), but recommendation 2.1 c) for the Committee Terms of Reference for the additional point at 1.2 External Audit, be brought to the next meeting of the Committee following advice from the Director of Finance and the City Barrister & Head of Standards.

RESOLVED:

1. that the Committee approve the updated Assurance Framework and agree that it shall form the basis on which the Council will compile its Annual Governance Statement for 2012/13.
2. that the Committee approve the revisions to the Local Code of Corporate Governance.
3. that the Committee approve the revisions to the Audit & Risk Committee Terms of Reference, except the additional point at 1.2 External Audit, which the Committee asked to be brought to the next meeting for discussion.

77. REVIEW OF THE INTERNAL AUDIT CHARTER AND THE PUBLIC SECTOR INTERNAL AUDIT STANDARDS

The Director of Finance submitted a report which presented to Committee the revised Internal Audit Charter, and the adoption of the Public Sector Internal Audit Standards as the recognised professional standards for the Internal Audit service for approval. The Audit Manager, Internal Audit presented the report.

The Audit Manager drew particular attention to the following:

- The Chartered Institute of Public Finance & Accountancy (CIPFA) and the Chartered Institute of Internal Auditors (IIA) had jointly issued a new set of professional standards, the UK Public Sector Internal Audit Standards, which came into effect on 1st April 2013.
- The Internal Audit Charter makes reference to the provision of investigations services to support management in fulfilling its responsibilities to prevent, detect and resolve fraud, corruption and other irregularities. Investigations are the responsibility of Internal Audit, the Corporate Counter-Fraud Team and the Revenues & Benefits Investigations Team,

though the latter two fraud teams' structure was under review. Members asked that information on the review be brought to a future meeting.

The Chair asked why final reports on audits and investigations requested by Members of the Audit and Risk Committee were treated in confidence. The Head of Internal Audit and Risk Management said that any such reports would have names removed and some would be treated as 'B' agenda items.

The Committee received the report.

RESOLVED:

1. that the Committee approve the revised Internal Audit Charter, and agree that it accurately reflected the terms of reference of the Internal Audit service.
2. that the Committee approve the adoption of the Public Sector Internal Audit Standards as the recognised professional standards for the Internal Audit Service.
3. that information on the review of the Corporate Counter-Fraud Team and the Revenues & Benefits Investigations Team be brought to a future Committee meeting.

78. PRIVATE SESSION

RESOLVED:

that the press and public be excluded during consideration of the following reports in accordance with the provisions of Section 100A(4) of the Local Government Act 1972, as amended, because they involve the likely disclosure of 'exempt' information, as defined in the paragraphs detailed below of Part 1 of Schedule 12A of the Act and, taking all the circumstances into account, it is considered that the public interest in maintaining the information as exempt outweighs the public interest in disclosing the information: -

Paragraph 3

Information relating to the financial or business affairs of any particular person (Including the authority holding that information)

INTERNAL AUDIT – UPDATE ON AUDIT PLAN PROGRESS
AND OUTCOMES OF AUDIT WORK Appendix B1

79. INTERNAL AUDIT - UPDATE ON AUDIT PLAN PROGRESS AND OUTCOMES OF AUDIT WORK

The Director of Finance submitted a report on Internal Audit's work in fulfilment of its agreed operational plan for the financial year 2012/13, and a summary of Internal Audit work completed in January 2013. The Audit Manager, Internal Audit presented the report. The report concerned the strength of internal controls in the City Council's financial and management processes and

included references to material weaknesses and areas vulnerable to fraud, therefore it had been brought as a 'B' agenda item.

The report provided the Committee with an overview of:

- audit work planned
- audit work completed
- significant issues identified by audit work
- management progress in implementing agreed recommendations.

A summary of work completed to the end of January 2013 compared with the work planned, with explanations of significant variations and other factors affecting plan delivery was brought to the Committee's attention for approval. The Audit Manager stated there no audit reports to draw to the attention of the Committee on the grounds of failure by management to respond to recommendations made by Internal Audit. The Committee were made aware of one area where a low level of assurance had been given. It was reported that management had responded constructively and implementation of audit recommendations would be followed up in due course.

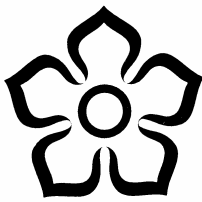
The Committee received the report.

RESOLVED:

1. that the report be received;
2. that the key issues identified be noted;
3. that the progress made in delivering the agreed internal audit plan be noted.

80. CLOSE OF MEETING

The meeting closed at 7.45pm.



Leicester
City Council

Minutes of the Meeting of the
AUDIT AND RISK COMMITTEE

Held: WEDNESDAY, 8 MAY 2013 at 5.00pm

P R E S E N T:

Councillor Westley – Chair

Councillor Dr Chowdhury Councillor Dr Moore
Councillor Grant Councillor V. Patel

* * * * *

81. APOLOGIES FOR ABSENCE

There were no apologies for absence.

82. DECLARATIONS OF INTEREST

There were no declarations of interest made.

83. POLICY FOR ENGAGEMENT OF EXTERNAL AUDITORS FOR NON-AUDIT WORK

The Director of Finance submitted a report on the policy for engagement of the Council's external auditors for non-audit work. The policy was developed to safeguard the Council and would enable the engagement of KPMG for other non-audit work, whilst maintaining audit independence and objectivity.

The report asked that the Audit and Risk Committee formally agree on an annual basis that it was satisfied with the structure, content and operation of the policy.

RESOLVED:

that the report be received and approved.

84. REVIEW OF THE AUDIT & RISK COMMITTEE'S TERMS OF REFERENCE AND UPDATE ON CORPORATE GOVERNANCE

The Director of Finance and the City Barrister & Head of Standards submitted a report which sought the Committee's approval of a codified structure for the corporate governance and assurance processes at the City Council. The Head

of Internal Audit and Risk Management presented the report.

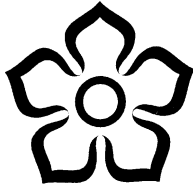
Members were asked to approve an addition to the terms of reference of the Audit and Risk Committee, under 1.2 External Audit 'To approve any instances of non-audit work by the external auditors in accordance with the 'Policy for Engagement of External Auditors for Non-Audit Work' and report any such instances to the Council'.

RESOLVED:

1. that the Committee approve the amendment to the Audit & Risk Committee Terms of Reference.
2. that the Committee approve the updates concerning the Council's Assurance Framework and Local Code of Corporate Governance.

85. CLOSE OF MEETING

The meeting closed at 5.16pm.



Leicester
City Council

WARDS AFFECTED: ALL

Audit and Risk Committee

13 June 2013

Risk Management and Insurance Services Update Report

Report of the Director of Finance

1. Purpose of Report

To provide the Committee with the regular update on the work of the Council's Risk Management and Insurance Services team's activities.

2. Summary

The Committee has agreed a reporting schedule to keep it informed of:-

- Risk management activity within the Council;
- Information about the work of the Council's Risk Management and Insurance Services (RMIS) team; and,
- Information about other on-going initiatives in the Council to control risks it faces in the delivery of its services.

3. Recommendations

The Committee is recommended to:

- 3.1 Receive the Report and note its contents.
- 3.2 Make any recommendations or comments it sees fit either to the Executive or Director of Finance.

4. Report

4.1 The Risk Management and Insurance Services team have responsibility for three critical functions:

- Risk Management Support and Advice;
- Insurance; and
- Business Continuity Support and Advice.

- 4.2 This report provides an update, in the previously agreed format, on work carried out by the RMIS team since the last meeting, reporting to you progress made against their objectives. It assures you, where possible, that risks within the business are being managed effectively.

4.2.1 Risk Management Support and Advice

The Council's 2013 Risk Management Strategy, containing the Risk Management Policy and RMIS Action Plan, was approved at the February meeting of this Committee. An update on progress is attached at Appendix 1.

The Council maintains a Strategic Risk Register and an Operational Risk Register. These registers contain the most significant unmitigated risks which the Council is managing and they are owned by Strategic and Divisional Directors respectively. Whilst there are other key risks, in the view of Directors, these are sufficiently mitigated for them not to appear in these registers.

To allow the Committee to better understand these registers, attached as Appendix 2 is the current risk assessment scoring guide and matrix. The Risk Registers as at the 31 January are attached - Appendix 3 (Operational Risk Register) and Appendix 4 (Strategic Risk Register).

The 2013 RMIS training programme, the aim of which is helping staff to understand and manage their risks more effectively, was launched to the business in early December. The first session ran in January with only a 50% take up, but our second session in March was full.

4.2.2 Insurance and Claims

A summary report of claims against the Council received in the period 1 April 2012 to 31 March 2013 is attached - Appendix 5A. Also enclosed as Appendix 5B is the same data for the first month of the new financial year. This latter appendix gives an impression of a repudiation rate of less than 2%, but this is purely down to timing. Our current repudiation rate is 77%. As more of these claims are investigated this figure will start to reflect the actual rate of repudiation.

These appendices show both successful and repudiated claims, breaking these down into business areas and type of claim i.e. slips and trips, potholes etc. Members should remember that one claim may be reported in more than one policy category – for example a Motor claim may also have a Personal Injury or Public Liability claim too, and that for new claims a value may not have been applied whilst initial investigations conclude.

The figures in brackets represent claims in those areas in the same period last year. The year on year figures continue to show the benefits of handling these claims in-house as fewer are being paid and those that are paid are being settled, on the whole, at lower levels and much quicker – hence avoiding inflated Legal fees.

Since the last report to the Committee, the Council has had no cases go to Court (although a case is scheduled for Friday 31 May which, in view of timing, will be covered in a verbal update at the meeting). However, we had a litigated claim discontinued by the Claimant which allowed the reserve of £50,000 (£14,000 claim for injury; £36,000 Legal Costs) to be returned to the insurance fund.

Loss Reduction Fund – In the last Financial Year (1 April 2012 to 31 March 2013) RMIS received 48 bids for assistance from the fund for a total of £385,620. Of these bids, 30 applications were approved and the fund provided an amount of £167,739 to business areas. As this fund had a relatively low take up during the past year, the Insurance team have advertised its availability through the 15 May issue of FACE, the staff magazine and will further promote the fund when we attend the school's business manager's groups in June.

Finally in this section I am able to give members an update on the outstanding position with the Municipal Mutual Insurance Company (MMI). In 1993 MMI went into liquidation whilst they were the insurers of the Council (and many others). Briefly, at that time, MMI requested all affected parties to sign up to an agreement to enable them to deal with their outstanding liabilities, whereby if MMI were not able to resolve these liabilities through the company's remaining assets, then in future years MMI could claw-back sufficient funds from those interested parties. In September 2012 (as widely expected within the industry) MMI invoked that claw-back facility, after facing mounting liabilities emanating from long term employers liability claims (mainly asbestosis).

In September 2012 the Council's maximum liability stood at £832,119.45 and we reserved our potential liability at 50% of that figure, less the £50,000 excess, - a figure of £391K, on the advice of our actuarial advisor. Ernst and Young (E&Y) have been instructed by MMI to claw back a levy of the above amount, which they have stated to be 15% of that amount, giving a potential initial payout of £117K. We have now received the actual request from E&Y at £114K which will be paid later this year – subject to MMI letting us have sight of relevant documentation confirming our liability. This is not a 'full and final settlement', and this will run for several more years to come

before a complete resolution is achieved. For now, assuming we receive the relevant documentation from MMI, we shall leave our reserve at £277K (£391K minus £114K) and seek an actuarial review on this when we next have an actuarial report on the insurance fund (likely to be next year). An assurance can be given to the Committee that this reserve will not increase.

4.2.3 Business Continuity/Emergency Planning updates

The Council's 2013 Business Continuity Management Strategy, containing the Business Continuity Management Policy and RMIS Action Plan, was approved at the February meeting of this Committee. An update on progress is attached at Appendix 6.

There have been two recent events affecting the Council, neither of which required the intervention or use of a business continuity plan.

In the first instance there had been a gas leak reported on Saturday 13 April at 7.45 pm in Scalpay Close, Beaumont Leys which, at first, looked as though we may have had to evacuate around 20 premises. However, this turned out to be a very minor leak and the Fire Brigade and our Housing Emergency Call Out team rapidly restored order and all was returned to normal within the hour.

The second incident related to a report of a 'rust coloured' discolouration of water in Wash Brook by Hughendon Drive. Instances relating to waterways are, as in this case, passed to the Environment Agency.

4.2.4 Key Risk Issues arising within the Business

The key significant risk issues arising within the business have not altered since the last meeting of this Committee. They remain those surrounding the trade unions' potential for, and actual, industrial action across the whole of the public sector. The two main teaching unions continue with their 'work to rule' which began, on the 26 September. This action has not, to date, caused any significant disruption to the Council. Unison have also balloted staff on their appetite for industrial action in the summer over the proposed 1% pay rise.

The prospect of further disruption to fuel supplies continues to diminish as the Unite union suggests that negotiations with management continue to be positive. The Head of Internal Audit and Risk Management is the lead for the Local Resilience Forum's Fuel Planning and Business Continuity Group and, as such, is in a position whereby updates are being received weekly direct from the DCLG.

Through the Local Resilience Forum the Head of Internal Audit and Risk Management is aware that the Fire Brigade Union ballot result supported strike action. In the recent past, strikes within the Brigade have been local and there has been minimal disruption. This is not expected to be the case as this will be a National strike. As in the past, it is expected that 'persons at risk' 999 calls will still be responded to as usual and that the strike action will impact upon non-life threatening calls only. Property managers within the council will be placed on alert once the situation becomes clearer and a start date is advised.

The Head of Internal Audit and Risk Management continues to Chair meetings of the Local Resilience Forum (LRF) Business Continuity Practitioners Group where the risks for LRF members arising from any strike action, and the LRF member's response to deal with these incidents, are reviewed. If further strike action is confirmed, or the teacher's action escalates, he shall, again, co-ordinate the Council's response with the support of the Chief Operating Officer.

Critical areas considered most at risk of disruption remain – schools – because of the impact on LRF partners if they fail to open; highways – emergency repairs and response to adverse weather conditions; and, housing – emergency repairs and maintenance.

4.2.5 Horizon Scanning – events in other Public Sector agencies and the Private sector that may impact upon the Council.

There is nothing much to report in this section. As part of the promotion of the importance of the Localism Bill and individual Local Plans, the East Midlands regional strategy was revoked by Parliament on the 14 March, with an effective end date of the 12 April 2013.

The Head of Internal Audit and Risk Management will continue to send to and/or discuss with relevant managers and directors any issues and the potential impacts they may have on the Council.

5. Financial, Legal Implications

There are no direct financial or additional legal implications arising from this report. These implications will rest within (and be reported by) the business areas that have day-to-day responsibility for managing their risk.

6. Other Implications

OTHER IMPLICATIONS	YES/NO	Paragraph References Within Supporting Information
Equal Opportunities	No	
Policy	No	
Sustainable and Environmental	No	
Climate Change	No	
Crime and Disorder	No	
Human Rights Act	No	
Elderly/People on Low Income	No	
Risk Management	Yes	All of the paper.

7. Report Author/Officer to contact:

Tony Edeson, Head of Internal Audit and Risk Management, Financial Services - Ext 29 7465

30 May 2013

APPENDIX 1 - Risk Management Strategy 2013 – RMIS Action Plan Update as at 30 April 2013

Action	Responsible Officer	Target Date(s)	Update
<p>1. Develop a risk based review process for Internal Audit to test the maturity and integration of the Risk Strategy. This will be an agreed part of the scoping of all (appropriate) Internal Audit reviews that will provide assurance on the embeddedness and effectiveness of risk processes.</p>	<p>Head of Internal Audit and Risk Management</p>	<p>December 2013</p>	<p>Internal Audit include this in their audit scopes for each audit. As they do not cover all areas, to support this work, Risk Consultants from Zurich Municipal (the Council's insurers) have reviewed a sample (6) of the Council's Operational Risk Registers and met with the Directors responsible for those areas. A report will be issued in June when the process is complete.</p>
<p>2. Each Division's key operational risks to be reviewed and new significant risks or opportunities are fed into the Operational Risk register quarterly. This will include a review of the appropriateness and effectiveness of the mitigating actions/controls. These key risks to be informed by Divisions, Service areas and projects. Any significant operational risks identified by the Operational Board should be referred to the Strategic Management Board.</p>	<p>Operational Board (for completion) Head of Internal Audit and Risk Management (to facilitate)</p>	<p>Every 31 January; 30 April; 31 July; 31 October</p>	<p>The process of review and submissions continues to work well. There have been 100% returns from the Divisional Directors now in each of the last 18 months. The work referred to above by Zurich Municipal will help to re-enforce this.</p>
<p>3. The Strategic Management Board will continue to manage and monitor a strategic risk register for the risks which affect achievement of the strategic programme.</p>	<p>Strategic Directors</p>	<p>Every 31 January; 30 April; 31 July; 31 October</p>	<p>The Strategic Risk Register continues to be reviewed each quarter by Strategic Management Board (SMB) members individually and discussed quarterly at the SMB designated for the Risk Registers report.</p>
<p>4. Updates of Strategic and Operational Risk Registers should be reported to the Audit and Risk Committee (A&RC).</p>	<p>Head of Internal Audit and Risk Management - (produce) Operational Board - (agree) Strategic Management Board - (approve) Audit & Risk Committee - (note)</p>	<p>Corporate Registers Updated Quarterly in February; May; August; November. Reports to A&RC at next appropriate meeting.</p>	<p>The Operational and Strategic Risk Registers are brought for the Audit & Risk Committee's review at the first Committee meeting following the submission to Risk management in February, May, August and November.</p>

<p>5. Continue with the targeted training delivery based upon recent experience of operational involvement in risk activity; the outcomes of specific risk audits; recent insurance events; and, key financial risks being identified by the Operational/Strategic Risk Register process.</p>	<p>Head of Internal Audit and Risk Management</p>	<p>1. 2013 Plan to be published by 31 December 2012 2. 2013 Programme to be delivered by 31 December 2013</p>	<p>1. Plan was published on our Intranet site and sent to all Divisional Directors and their Heads of Service in December. 2. There are 12 formal sessions in place. 5 have been delivered to near 100% attendees (maximum 15 per session).</p>
<p>7. Continue to develop project risk assessments, as appropriate and in line with the principles of Prince2, where these do not exist. Continue to support the quality based risk assurance process for projects.</p>	<p>Project Portfolio Manager, Corporate Portfolio Management Office (CPMO) Head of Internal Audit and Risk Management</p>	<p>Quarterly Reviews in February May August November</p>	<p>Review meeting between the CPMO; the Head of Internal Audit and Risk Management; and the Internal Audit Manager took place in February. The meetings for the rest of the year are in the diary.</p>

Appendix 2 – Risk Assessment Scoring Guide and Matrix 2013

	IMPACT	SCORE	BENCHMARK EFFECTS
CRITERIA	CRITICAL/ CATASTROPHIC	5	<ul style="list-style-type: none"> • Multiple deaths of employees or those in the Council's care • Inability to function effectively, Council-wide • Will lead to resignation of Chief Executive and/or Leader of the Council • Corporate Manslaughter charges • Service delivery has to be taken over by Central Government • Front page news story in National Press (e.g. Baby P) • Financial loss over £10m
	MAJOR	4	<ul style="list-style-type: none"> • Suspicious death in Council's care • Major disruption to Council's critical services for more than 48hrs (e.g. major ICT failure) • Noticeable impact in achieving strategic objectives • Will lead to resignation of Strategic Director and/ or Cabinet Member • Adverse coverage in National Press/Front page news locally • Financial loss £5m - £10m
	MODERATE	3	<ul style="list-style-type: none"> • Serious Injury to employees or those in the Council's care • Disruption to one critical Council Service for more than 48hrs • Will lead to resignation of Divisional Director/ Project Director • Adverse coverage in local press • Financial loss £1m - £5m
	MINOR	2	<ul style="list-style-type: none"> • Minor Injury to employees or those in the Council's care • Manageable disruption to internal services • Disciplinary action against employee • Financial loss £100k to £1m
	INSIGNIFICANT/ NEGLIGIBLE	1	<ul style="list-style-type: none"> • Day-to-day operational problems • Financial loss less than £100k

LIKELIHOOD	SCORE	EXPECTED FREQUENCY
ALMOST CERTAIN	5	Reasonable to expect that the event WILL undoubtedly happen/recur, possibly frequently.
PROBABLE/LIKELY	4	Event is MORE THAN LIKELY to occur. Will probably happen/recur, but it is not a persisting issue.
POSSIBLE	3	LITTLE LIKELIHOOD of event occurring. It might happen or recur occasionally.
UNLIKELY	2	Event NOT EXPECTED . Do not expect it to happen/recur, but it is possible it may do so.
VERY UNLIKELY/RARE	1	EXCEPTIONAL event. This will probably never happen/recur.

Appendix 2 – Risk Assessment Scoring Guide and Matrix 2013

LEVEL OF RISK	OVERALL RATING	HOW THE RISK SHOULD BE TACKLED/ MANAGED
High Risk	15-25	IMMEDIATE MANAGEMENT ACTION
Medium Risk	9-12	Plan for CHANGE
Low Risk	1-8	Continue to MANAGE

LIKELIHOOD (A)	Almost Certain 5	5	10	15	20	25
	Probable/Likely 4	4	8	12	16	20
	Possible 3	3	6	9	12	15
	Unlikely 2	2	4	6	8	10
	Very unlikely/ Rare 1	1	2	3	4	5
		<i>Insignificant/ Negligible</i> 1	<i>Minor</i> 2	<i>Moderate</i> 3	<i>Major</i> 4	Critical/ Catastrophic 5
IMPACT (B)						

Appendix 3 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 30 April 2013

Risk What is the issue: <i>whats is the root cause/ problem – what could go wrong</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	Risk Score with existing measures (See Scoring Table Below)			Further management actions/controls required	Target Score with further management actions/controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
			Impact	Probability	Risk		Impact	Probability	Risk			
1. Adult Social Care & Safeguarding - Quality of intermediate care provision falls below required standards.	Detriment (harm) to individuals, groups or the Council (financial or reputational)	Management audits of practice and development of plans to promote improvements	5	3	15	SCA engaged to aid quality audit in residential care. Improvement plan.	5	2	10		Ruth Lake	31/03/2014 and ongoing
2. Adult Social Care & Safeguarding - Ineffective partnership working with Leicester City NHS.	Failure to deliver intermediate care priorities and make efficiency targets	Strategy and redesign work to establish cross-economy commitment to intermediate care models	4	4	16	Engage with H&WB as it establishes	3	3	9		Ruth Lake	31/03/2014 and ongoing
3. Adult Social Care & Safeguarding - Failure to maintain essential health and safety and Maintain safe water systems in all units.	Ill health or death to residents and/or staff or visitors from water borne infections e.g. legionella	Water hygiene monitoring practice in place	5	3	15	Ensure all registered managers go on required training and fully understand the requirements for temperature checking, flushing regimes, tap cleaning etc and can closely monitor those carrying out these tasks.	5	2	10		Ruth Lake	31/03/2014 and ongoing

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4. Information & Customer Access - Risk: Failure of MS Lync. implementation(Voice services migration) in part or totally exacerbated by narrowing time envelope	<ul style="list-style-type: none"> • Council ceases to function totally or in part through loss of voice services • Alternative voice solution not in place ahead of NWC move causing delays within moves • major cost over-runs are experienced in delivering an alternative solution • Cost benefits of MS migration are lost • Ability to exploit new ways of working is seriously compromised 	Director and Project Steering Group actively monitor/manage delivery Thorough pilot of Lync. Proof of Concept solution within Information & Customer Access followed by initial pilot with small remote office BCP planning for implementation being tested Lync experienced Project Manager in place	5	4	20	Project Communication <ul style="list-style-type: none"> • Detail lessons learnt process to incrementally improve processes • Prioritisation of resource to Project 	4	2	8		Jill Craig	Dec-13

Appendix 3 - Leicester City Council Operational Risk Register

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Risk What is the issue: <i>whats is the root cause/ problem – what could go wrong</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	Risk Score with existing measures (See Scoring Table Below)			Further management actions/controls required	Target Score with further management actions/controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
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<p>5. Information & Customer Access - Risk: Managing delivery of continuing levels of service with vacancies resulting from increasing retention & recruitment difficulties and staff churn. Difficulties within the recruitment internal and external pools to find suitable resources. Staff departures due to ever increasing budget pressures</p>	<ul style="list-style-type: none"> • Staff departure Single Points of (Human) Failure Unable to recruit to posts/loss of key staff • General and/or major degradation of council ability to function Failure to deliver of key service improvement projects. Inability to meet resourcing needs for major site moves including NWC and DC as well as deliver Lync etc. 	<p>Director and Project Steering Group actively monitor/manage delivery Thorough pilot of Lync. Proof of Concept solution within Information & Customer Access followed by initial pilot with small remote office BCP planning for implmentation being tested Lync experienced Project Manager in place</p>	4	4	16	<ul style="list-style-type: none"> • Project Communication • Detail lessons learnt process to incrementally improve processes • Prioritisation of resource to Project 	4	2	8		Jill Craig	Dec-13

Appendix 3 - Leicester City Council Operational Risk Register

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6. Information & Customer Access - Risk: Failure to complete move of corporate data centre in a timely manner and Project costs exceeding budget	Delivery of new Data Centre is not sequenced to complete prior to moves of staff from NWC leading to major service disruption/potential failure of corporate service delivery. Time delays within overall contracting processes delay start/complete. Sequencing of DC move affects ability to complete other NWC related moves leading to knock on delays in programmes. Insufficient funding to complete project to original specification	<ul style="list-style-type: none"> • Mayoral directive to deliver without awaiting NWC decisions • Corporate Accomodation Stratgey Implementation (ASI) Programme Board Agenda item. • Site selection process complete, statutory planning requirements in hand, Project Tender process advanced. Soft Market Testing Internal Project Management Board appointed and Project Manager appointed. Project out to tender Moves sequencing factors raised to ASI Board 	5	4	20	Budget allocation finalised. Selection/appointment of specialist design and delivery partner(s) in tender process. Comprehensive migration planning	5	2	10		Jill Craig	Oct-13

Appendix 3 - Leicester City Council Operational Risk Register

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Risks as at: 30 April 2013

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7. Human Resources & Workforce Development - HR efficiencies not realised leading to greater service cuts in the HR service.	Risk to wider organisation of its ability to implement significant organisational change, linked to budget setting proposals.	Budget proposals accepted. Income targets set	4	4	16	Year one savings achieved through alternative management action, such as release of vacant posts. Income project halted whilst review is on-going and will be restarted with a view to achieving year 2 targets. Financing of HR staffing in review (i.e. base budgets) will further release income, which will contribute to future savings targets.	3	3	9		Steph Holloway	01/03/2014
8. Property - The discontinuation of PCP (reduction in capitial investment) and the continuing need to accommodate pupil increases.	A Statutory duty is not met	Established working group to assess options. Other funding sources being explored including bids to PSBP Property Health Surveys on all Primary Schools to be completed before end of April 2013.	4	4	16	Develop long term strategy across the primary school estate	4	2	8	Staff time	John Stevens	October 2013 then half yearly

Appendix 3 - Leicester City Council Operational Risk Register

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Risks as at: 30 April 2013

Risk What is the issue: <i>whats is the root cause/ problem – what could go wrong</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	Risk Score with existing measures (See Scoring Table Below)			Further management actions/controls required	Target Score with further management actions/controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
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9. Property - Reduction in capital investment in schools with ageing school stock and deteriorating condition.	Potential to not meet statutory building requirements. Reputational damage to the council.	Assessing a range of construction options (e.g. modular, pre-fab) to reduce build costs - to be coompleted by May 2013.	4	4	16	Develop long term strategy across the primary school estate.	4	2	8	Staff time	John Stevens	October 2013 then half yearly
10. Property - Failure to attract candidates with requisite skill sets due to single status grade resulting in vacant positions or poor appointments.	Affects all delivery resulting in poor efficiency and effectiveness and possible reputational damage to the council through adverse press coverage.	Review in place. On completion recruitment may be needed.	4	4	16	Work with DMT to identify alternate project and programme management process such as cluster management	4	2	8	Staff time	John Stevens	October 2013 then half yearly

Appendix 3 - Leicester City Council Operational Risk Register

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Risks as at: 30 April 2013

Risk What is the issue: <i>whats is the root cause/ problem – what could go wrong</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	Risk Score with existing measures (See Scoring Table Below)			Further management actions/controls required	Target Score with further management actions/controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
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11. Property - Business Continuity Issues re Asbestos	Closure of buildings	1. Findings of asbestos action plan being implemented. 2. Asbestos monitoring returns to be reported to DivMT and Heads of Property monthly. To OB and SMB if cause for concern. 3. Action plan works now completed, signed off by H&S and now being monitored.	5	3	15	1. Ensure 100% compliance with asbestos returns with accurate data by holding BROs to account 2. Ensure all buildings have an asbestos register	3	2	6	Staff time	John Stevens	October 2013 then half yearly

Appendix 3 - Leicester City Council Operational Risk Register

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Risks as at: 30 April 2013

Risk What is the issue: <i>whats is the root cause/ problem – what could go wrong</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	Risk Score with existing measures (See Scoring Table Below)			Further management actions/controls required	Target Score with further management actions/controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
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12. Property - Business Continuity Issues re Water Hygiene	Closure of buildings	1. Implementation of control regime comprising ongoing regular monitoring, reports, risk assessment reviews and maintenance with allocated budgets. 2. Water hygiene monitoring returns to be reported to DivMT and Heads of Property monthly. To OB and SMB if cause for concern. 3. Spend of allocated capital budget for water hygiene and production of ongoing prioritised schedule of works ongoing 4. Water hygiene responsibilities in non-op estate have been confirmed and necessary action taken	5	3	15	1. Seek 100% compliance with water hygiene returns with accurate data. 2. Further budget for 12/13 works approved in capital programme. 3. More rigorous audit of BRO monitoring to be undertaken.	3	2	6	Staff time	John Stevens	October 2013 then half yearly
13. Property - Economic downturn affecting budget.		Monthly on voids and financial implications thereof to DMT and Mayors Property Briefing.	4	4	16	Send rent demands, reviews and renewals on time - collect rent on time.	3	4	12	Staff time	John Stevens	October 2013 then half yearly

Appendix 3 - Leicester City Council Operational Risk Register

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Risks as at: 30 April 2013

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14. Care Services & Commissioning (ASC) - Financial Risk – To develop a methodology for deciding the fees uplift for the independent residential providers, to prevent possible JR.	External professional support has been sought to assist with the process	Specialist professional support and legal advice has supported the process. The Executive is fully informed	4	4	16	External professional and legal advice is being sought as a means of limiting a possible JR challenge	3	1	3	A JR legal challenge could cost the authority several millions if the methodology used by the Council is not robust	Tracie Rees	Jun-13
15. Care Services & Commissioning (ASC) - Quality of care provision falls below required standards	Detriment (harm) to individuals, groups or the Council (financial or reputational)	Management audits of practice and development of plans to promote improvements	5	3	15	SCA engaged to aid quality audit in residential care. Improvement plan.	5	2	10		Tracie Rees	31/03/2014 and ongoing
16. Care Services & Commissioning (ASC) - Failure to carry out effective statutory consultation will result in financial and reputational damage to the council.	Council could face legal challenge through judicial review	Consultations being run as a dedicated project overseen by a senior manager with some temporary additional resource	5	4	20	A lean sign off process needs to be developed and agreed to avoid creating last minute changes and pressures	5	1	5	A JR legal challenge could cost the authority several millions if the methodology used by the Council is not robust	Divisional Director	30.05.13

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17. Care Services & Commissioning (ASC) - High risk politically, however failure to implement carries high financial risks in terms of deteriorating buildings and reducing occupancy levels	Public protest of proposals, raised risk of non CQC compliance due to deteriorating buildings and high agency usage. Raised risk of council disrepute and negligence	Effective resident and staff consultation	5	4	25	To provide factual information and support to staff that may be impacted on by any proposed changes via Trade Unions, HR, and Amica. Care management teams to support and inform residents and carers.	4	3	12		Divisional director	Jun-13
18. Care Services & Commissioning (ASC) - Failure to maintain quality, safe services	Reduced quality, safeguarding, staff sickness	Addeco opening up the market, developing induction days and tools, benchmarking training and using the Swedish Derogation rule for consistency	4	4	16	Monitor and engage with Addeco to ensure development measures are undertaken. Monitor quality of agency staff	2	3	6		Tracie Rees	31/03/2014 and ongoing

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19. Delivery, Communications and Political Governance Fail to have a fit for purpose constitution and underpinning processes to support effective governance and decision-making	Lack of transparency and clarity in decision-making. Burdensome appropriate. Decisions not taken in a timely manner. Potential for unlawful processes.	Decision making processes reviewed and new arrangements in place. Constitution revised and agreed by Full Council. Further work on other aspects of the Constitution underway and new standards arrangements agreed and now operational. The Contract Procedure Rules have been revised and agreed as part of this. New Regulations issued in respect of Executive Decisions	5	4	20	Continue to communicate and embed new processes across the Council. Continue further work required on the Constitution including report proposing revisions to the Political Conventions - due to go to Council in March.	3	2	6		Miranda Cannon	Jun-13
20. Delivery, Communications and Political Governance Divisional resources not aligned to the structures and needs of the Council	Impacts on ability to deliver the Divisional work-plan and core business. Division fails to meet expectations of services	Reviews completed in PPP / OI and Dem Services and post-review transition and customer engagement managed. Agreed additional resources and refocusing in relation to the Communications Team.	4	4	16	Plan and implement reviews of other key areas specifically Corporate Admin, Scrutiny support team and Marketing working with the relevant Heads of Service.	3	3	9		Miranda Cannon	Jun-13

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21. Delivery, Communications and Political Governance 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/VCS group. Cllr Sood and Miranda Cannon working with the Group to refocus how it operates and maximise its impact	4	4	16	Continue to further develop relationships	4	3	12		Miranda Cannon	Ongoing

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22. Delivery, Communications and Political Governance Failure to provide a managed and coherent response to the process. Failure to effectively support the process	Review is delayed causing reputational damage. Negative perceptions by elected members and MPs and the media which impacts on reputation and causes significant distraction for the organisation. Electoral processes are impacted unnecessarily	Early meetings held with the Boundary Commission to understand the process.	4	4	16	Establish a project plan and project team to support delivery of the review. Ensure stakeholder issues are considered carefully	4	3	12		Miranda Cannon	Nov-14

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23. Finance - Financial challenges - the Council fails to respond adequately to the cuts in public sector funding over the coming 2 - 3 years.	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. Work commenced on budget for 2013/14-2014/15 and for longer term beyond 2015. Budget proposals are scrutinised by finance teams for accuracy and achievability.	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. Uncertainties remain to be resolved over the effects of Council Tax Discount and Business Rates localisation from April 2013. Ongoing checks via budget monitoring and monitoring of growth and savings	5	2	10		Alison Greenhill	31.03.2014 and Ongoing

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24. Finance - Revenues and Benefits - Data loss - MAPPA detail. Legislation changes to LHA exemption.	Breach of security on MAPPA data	Data is 'hidden from general view' with only authorised access to management level	5	3	15	Data management qualities are tested and monitored regularly. IA tests the resilience of the 'hidden' data from attack.	5	2	10	£2K	Alison Greenhill	Mar-14
25. Finance - Revenues and Benefits - Data breach - DWP data or safeguarding claim.	Breach of security on DV /sensitive cases or DWP CustoeMr Information System	Claims are handled by a specialist team.Forced preview of letter to be sent to allow checking prior to print. Refreshers course ran regularly on DPA issues	5	3	15	Range of suggestions from Info Governance.Plan in place to adopt new model of working	5	2	10	£3K	Alison Greenhill	Mar-14

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Risk What is the issue: <i>whats is the root cause/ problem – what could go wrong</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	Risk Score with existing measures (See Scoring Table Below)			Further management actions/controls required	Target Score with further management actions/controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
			Impact	Probability	Risk		Impact	Probability	Risk			
26. Finance - Corporate Procurement - Failure to comply with proper procurement practice in contracts.	Breach of Procurement rules.	1. More trained staff in place centrally to draw up documentation, manage and advise on tenders 2. New CPRs approved 3. Category managers in place across CD&N/Housing and now involved in significant areas of spend. 4. Fleet procurment now led by LCC with governance board in place. 5. ESPO will now inform LCC Procurement Head if officers approach them without CRT involvement	3	5	15	1. Eliminate approved procuring officer model 2. Fully centralise procurement 3. HoP approval on framework use (incl.ESPO) 4. Develop Procure to Pay compliance role 5. Development of RMS contracts module.	3	2	6		Alison Greenhill	31.03.2014 and Ongoing
27. Housing - Failure to comply with Data Protection Act 1998 by failing to adequately secure confidential data.	Adverse affect on LCC reputation. Loss on confidence in organisation. Possible litigation	All staff trained in data protection. Information Sharing Protocol in place with many other organisations.	5	3	15	Ongoing communications to staff to reinforce policies and protocols. Regular reviews supported by Information Governance team.	5	2	10		Ann Branson	31.03.2014 and Ongoing

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Appendix 4 - LCC Strategic Risk Register

Risk Owner: Andy Keeling, COO

Date completed: 30 April 2013

Risk What is the issue: <i>whats is the root cause/ problem – what could go wrong</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	Risk Score with (See Scoring)			Further management actions/controls required	Target Score controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
			Impact	Probability	Risk		Impact	Probability	Risk			
1. Health reforms - City fails to respond effectively to the requirements of new Government proposals/ legislation which places new health responsibilities on local authorities	<p>Impacts on ability to deliver improvements in health outcomes in Leicester .</p> <p>Failure to meet statutory responsibilities.</p> <p>Reputational damage to the Council and NHS.</p> <p>Financial implications in that the Council fails to secure the right resources (money and staff) to deliver the new duties.</p>	<p>Operational task and finish group on health transition work established and working collaboratively with the PCT/City Clinical Commissioning Group (CCG).</p> <p>Ongoing dialogue with key stakeholders including GP members of the City CCG and CCG staff. Shadow Health and Well Being Board established.</p> <p>Successful physical relocation of PCT Public Health staff into LCC New Walk Centre completed.</p>	4	3	12	<p>Development of a clear programme of work to deliver the change.</p> <p>Confirm resources needed to deliver the programme and governance arrangements.</p> <p>Briefing of City Mayor and members.</p> <p>Effective running of the shadow Health & Well-being Board.</p>	3	3	9		Deb Watson	Mar-13

Appendix 4 - LCC Strategic Risk Register

Risk Owner: Andy Keeling, COO

Date completed: 30 April 2013

Risk What is the issue: <i>whats is the root cause/ problem – what could go wrong</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	Risk Score with (See Scoring)			Further management actions/controls required	Target Score controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
			Impact	Probability	Risk		Impact	Probability	Risk			
2. Financial challenges - the Council fails to respond adequately to the cuts in public sector funding over the coming 2 - 3 years.	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.	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	31.03.2013 and Ongoing

Appendix 4 - LCC Strategic Risk Register

Risk Owner: Andy Keeling, COO

Date completed: 30 April 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 Tables Below)			Further management actions/controls required	Target Score controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
			Impact	Probability	Risk		Impact	Probability	Risk			
3. 2013/14 budget - failure to deliver the required budget savings for 2013/14	Greater level of quasi borrowing/reserves required to achieve a balanced budget. Council placed in severe financial crisis leading to reputational damage for the Council. Greater than expected job losses leading to potential to destabilise the Council and difficult industrial relations.	Robust monitoring of delivery by SMB. Process established for tracking significant areas.	3	4	12	Regular reporting to the City Mayor and elected members.	3	3	9		All Strategic Directors	Mar-13
4. 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 drop 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-13

Appendix 4 - LCC Strategic Risk Register

Risk Owner: Andy Keeling, COO

Date completed: 30 April 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
			Impact	Probability	Risk		Impact	Probability	Risk			
5. 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	01/03/2013 - or when themed discussion at SMB around partnerships (with the VCS in particular) has taken place.
	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						

Appendix 4 - LCC Strategic Risk Register

Risk Owner: Andy Keeling, COO

Date completed: 30 April 2013

Risk What is the issue: <i>whats is the root cause/ problem – what could go wrong</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	Risk Score with (See Scoring			Further management actions/controls required	Target Score controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
			Impact	Probability	Risk		Impact	Probability	Risk			
<p>7. 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.</p>	<p>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.</p>	<p>All members of the Senior Management Team have roles in either a Corporate BCM Team or act as Emergency Controllers.</p>	5	3	15	Further embedding of business continuity management approach.	5	2	10		Andy Keeling	31.03.2013 and Ongoing

Appendix 4 - LCC Strategic Risk Register

Risk Owner: Andy Keeling, COO

Date completed: 30 April 2013

Risk What is the issue: <i>whats is the root cause/ problem – what could go wrong</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	Risk Score with (See Scoring)			Further management actions/controls required	Target Score controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
			Impact	Probability	Risk		Impact	Probability	Risk			
8. 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 / Rachel Dickinson / Frank Jordan / Deb Watson	31.03.2013 and Ongoing
9. 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	31.03.2013 and Ongoing

Appendix 4 - LCC Strategic Risk Register

Risk Owner: Andy Keeling, COO

Date completed: 30 April 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			Further management actions/controls required	Target Score controls required			Cost	Risk Owner	Target Date
			(See Scoring Tables Below)				(See Scoring Tables Below)					
			Impact	Probability	Risk		Impact	Probability	Risk			
10. 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
11. 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	31.03.2013 and Ongoing
12. 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 protocols 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	31.03.2013 and Ongoing

Appendix 4 - LCC Strategic Risk Register

Risk Owner: Andy Keeling, COO

Date completed: 30 April 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
			Impact	Probability	Risk		Impact	Probability	Risk			
13. 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	31.03.2013 and Ongoing
14. 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	31.03.2013 and Ongoing

Appendix 4 - LCC Strategic Risk Register

Risk Owner: Andy Keeling, COO

Date completed: 30 April 2013

Risk What is the issue: <i>whats is the root cause/ problem – what could go wrong</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	Risk Score with (See Scoring Tables Below)			Further management actions/controls required	Target Score controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
			Impact	Probability	Risk		Impact	Probability	Risk			
15. Safeguarding - the Council fails to adequately safeguard 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		5	2	10		Deb Watson/ Rachel Dickinson	31.03.2013 and Ongoing

Appendix 4 - LCC Strategic Risk Register

Risk Owner: Andy Keeling, COO

Date completed: 30 April 2013

Risk What is the issue: <i>whats is the root cause/ problem – what could go wrong</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	Risk Score with (See Scoring			Further management actions/controls required	Target Score controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
			Impact	Probability	Risk		Impact	Probability	Risk			
<p>16. 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.</p>	<p>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.</p>	<p>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.</p>	5	3	15	Strategic Directors to re-inforce the Risk Strategy with their Operational Directors. Responsibility for Health and Safety to be more clearly defined with a reminder to be issued to all Directors outlining what this is to be repeated annually as part of the Governance reporting process. A new guide to dealing with SU's to be produced and issued via Operational Directors to all staff.	5	2	10		All SMB Members.	Mar-13

Appendix 4 - LCC Strategic Risk Register

Risk Owner: Andy Keeling, COO

Date completed: 30 April 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
			Impact	Probability	Risk		Impact	Probability	Risk			
<p>17. 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.</p>	<p>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.</p>	<p>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</p>	5	3	15	<p>Strategic Directors to re-inforce the Risk Strategy and climate change responsibilities with their Operational Directors.</p>	5	2	10		All SMB Members.	Mar-13

Appendix 4 - LCC Strategic Risk Register

Risk Owner: Andy Keeling, COO

Date completed: 30 April 2013

Risk What is the issue: <i>whats is the root cause/ problem – what could go wrong</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	Risk Score with (See Scoring Tables Below)			Further management actions/controls required	Target Score controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
			Impact	Probability	Risk		Impact	Probability	Risk			
18. 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	Put in place robust future workforce planning. Prioritise appropriately spend in terms of learning and development. Establish a talent management strategy. Ensure engagement of staff to understand their concerns and perspectives both informally and via a formal staff survey. Need for a clear process of transition and handover where relevant which is followed robustly by Managers.	4	2	8		Stephanie Holloway (Interim)	Jun-13

Appendix 4 - LCC Strategic Risk Register

Risk Owner: Andy Keeling, COO

Date completed: 30 April 2013

Risk What is the issue: <i>whats is the root cause/ problem – what could go wrong</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	Risk Score with (See Scoring			Further management actions/controls required	Target Score controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
			Impact	Probability	Risk		Impact	Probability	Risk			
19. 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	Ongoing

Appendix 5A - Insurance Claims Data - Last Financial Year

LEICESTER CITY COUNCIL - Insurance Claims Received 1 April 2012 - 31 March 2013

Claims received and being dealt with

Total Claims	Repudiated	In Progress	Paid	Amount Paid
775 (958)	304 (330)	352 (428)	119 (200)	188887 (289143)

Breakdown by Area and Type of Claim												
Division		Responsible Director			Claim Type					Total Number	£ Value	
					Employers Liability	Public Liability	Professional Indemnity	Personal Injury	Motor			
Env & Enforcement Services		Adrian Russell				3	47		19	54	123 (205)	55056
Plan, Trsport & Economic Dev.		Andrew L Smith				1	167		106	56	330 (434)	40009
Child Soc Care & Safeguarding		Andy Smith				1			1	1	3 (7)	2310
Housing		Ann Branson				5	145		62	81	293 (340)	90140
Human Resources & W/Fce Dev		Miranda Cannon/Alison Greenhill					0		0	1	1 (0)	350
Adult Soc Care & Safeguarding		Ruth Lake				1		1	3	2	7 (1)	86
Del, Comms & Pol Governance		Miranda Cannon								1	1 (0)	
Information & Cust Access		Jill Craig				1			1		2 (3)	
Property		John Stevens					5		2		7 (8)	480
Learning Services (incl Schools)		Margaret Libreri				4	9		10	2	25 (84)	43
Finance		Alison Greenhill									0 (2)	
Legal Services		Kamal Addatia									0 (0)	
Culture & Neighbourhood Svcs		Liz Blythe				1	6		2	3	12 (30)	370
City Public Health & Health Imp		Rod Moore - wef 1/4/2013									0	
Care Svcs & Commissioning		Tracie Rees					1			1	2 (0)	43
Young People's Services		Trevor Pringle					1		1	1	3 (6)	
		Total				17 (26)	381 (476)	1 (0)	207 (241)	203 (277)	809 (1020)	188887

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Appendix 5B - Insurance Claims Data - New Financial Year

LEICESTER CITY COUNCIL - Insurance Claims Received 1 April 2013 - 31 April 2013

Claims received and being dealt with

Total Claims	Repudiated	In Progress	Paid	Amount Paid
119 (59)	2 (7)	114 (48)	3 (4)	2414 (1030)

Breakdown by Area and Type of Claim												
Division		Responsible Director			Claim Type					Total Number	£ Value	
					Employers Liability	Public Liability	Professional Indemnity	Personal Injury	Motor			
Env & Enforcement Services		Adrian Russell				1	3		5	9	18 (10)	1964
Plan, Trsport & Economic Dev.		Andrew L Smith					31		12	11	54 (47)	450
Child Soc Care & Safeguarding		Andy Smith									0 (0)	
Housing		Ann Branson				2	18		6	13	39 (0)	
Human Resources & W/Fce Dev		Miranda Cannon/Alison Greenhill									0 (15)	
Adult Soc Care & Safeguarding		Ruth Lake									0 (0)	
Del, Comms & Pol Governance		Miranda Cannon									0 (0)	
Information & Cust Access		Jill Craig									0 (0)	
Property		John Stevens				1			1		2 (0)	
Learning Services (incl Schools)		Margaret Libreri				1	2		1		4 (0)	
Finance		Alison Greenhill									0 (0)	
Legal Services		Kamal Addatia									0 (0)	
Culture & Neighbourhood Svcs		Liz Blythe					2				2 (0)	
City Public Health & Health Imp		Rod Moore									0 (0)	
Care Svcs & Commissioning		Tracie Rees									0 (2)	
Young People's Services		Trevor Pringle									0	
		Total				5	56	0	25	33	119	2414

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Appendix 6 – Business Continuity Management Strategy – Action Plan 2013 – UPDATE as at 30 April 2013

Action	Responsible Officer	Target Date(s)	Update
Ensure that a Business Continuity Plan is in place for all those activities identified within the Corporate BCP as being 'critical' to the Council.	Divisional Directors and Strategic Directors - Own Head of Internal Audit and Risk Management - Facilitate	July 2013	Paper going to OB and SMB end April/early May that require Directors to confirm this by end of July.
Review the membership and roles and responsibilities of the Corporate BCM Team. Ensure that Divisions with Critical Activities are represented on the team. Review and refresh the 'Gold' team and its membership.	Head of Internal Audit and Risk Management	April 2013 August 2013 December 2013	There are three meetings of the CBCMT (as required by Council's Strategy) at which this is complied with. First meeting 8 April. Next 23 July and 19 November.
By means of regular meetings, exercises and updates ensure that an effective, workable incident response structure for Leicester City Council remains in place.	Head of Internal Audit and Risk Management Emergency Planning Manager	April 2013 August 2013 December 2013	BCM team meeting held 8 April. Multi team Control Room Exercise held 20 February.
Annually confirm updates for the Council's Business Continuity Plans– both the Corporate plan and individual area plans.	Head of Internal Audit and Risk Management	June 2013	Paper going to OB and SMB end April/early May.
Continue to deliver formal programme of training and awareness sessions on Business Continuity Management.	Head of Internal Audit and Risk Management	Throughout 2013as demand dictates.	Training session held 18 March with another planned for 15 August.

Action	Responsible Officer	Target Date(s)	Update
Continue to promote Business Continuity Management in the community, with Leicester City Council key suppliers and partners, advising and assisting local organisations with their Business Continuity Management arrangements.	Head of Internal Audit and Risk Management	Throughout 2013 as demand dictates.	Speaking to ASC Independent Living third party providers.
Continue to lead and participate in local Business Continuity Management Practitioner Groups, sharing best practice ideas and working together with other practitioners to enable Leicester City Council's Business Continuity Management responses to be more effective and offer better 'Value For Money'.	Head of Internal Audit and Risk Management	Throughout 2013.	EM BCM Group has folded due to loss of finance and leader. Chair of LRF BCM Group. Taking lead in Blaby DC exercise on 25 April.