



Leicester
City Council

MEETING OF THE AUDIT AND RISK COMMITTEE

DATE: WEDNESDAY, 19 DECEMBER 2018

TIME: 5:30 pm

**PLACE: Meeting Room G.01, Ground Floor, City Hall,
115 Charles Street, Leicester, LE1 1FZ**

Members of the Committee

Councillor Riyait (Chair)

Councillor Westley (Vice-Chair)

Councillors Alfonso, Bajaj, Dr Chowdhury and Dr Moore

One Labour Group unallocated place

Two unallocated Non-Group places

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

for Monitoring Officer

Officer contact: Jason Tyler
Democratic Support, Democratic Services
Leicester City Council,
City Hall, 115 Charles Street, Leicester, LE1 1FZ
Tel. 0116 454 6359
Email. Jason.Tyler@Leicester.gov.uk

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Further information

If you have any queries about any of the above or the business to be discussed, please contact: Jason Tyler **Democratic Support** on (0116) 454 6359 - email Jason.Tyler@leicester.gov.uk or call in at City Hall, 115 Charles Street.

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PUBLIC SESSION

AGENDA

FIRE / EMERGENCY EVACUATION

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1. APOLOGIES FOR ABSENCE

2. DECLARATIONS OF INTEREST

Members are asked to declare any interests they may have in the business to be discussed.

3. MINUTES OF THE PREVIOUS MEETING

Appendix A

The Minutes of the previous meeting of the Audit and Risk Committee held on 12 September 2018 are attached and Members are asked to confirm them as a correct record.

4. EXTERNAL AUDIT UPDATE

The Chief Accountant and the external auditor (KPMG) will provide a verbal update.

5. BREXIT PREPARATIONS

The Director of Delivery, Communications and Political Governance will provide a verbal update on the Council's approach and preparations concerning Brexit.

6. COUNTER FRAUD MID-YEAR UPDATE

Appendix B

The Corporate Investigations Manager submits a report, which provides a mid-year update on the work carried out by the Corporate Investigations Team for the period 1 April 2018 to 30 September 2018.

7. COMPLAINTS POLICY AND PROCEDURE FOR MANAGING VEXATIOUS CUSTOMERS **Appendix C**

The Director of Finance submits a report, which asks the Committee to note the Revenue & Customer Support Service's implementation of a written Corporate Complaints Policy and Procedure to Manage Vexatious Customers. The policy will ensure a clear and standardised approach for dealing with corporate complaints and customer who exhibit inappropriate behaviour.

8. SOCIAL VALUE UPDATE

The Head of Procurement will provide a verbal update on the Social Value Charter.

9. STRATEGIC AND OPERATIONAL RISK REGISTERS - HEALTH AND SAFETY AND INSURANCE CLAIMS DATA - RISK TRAINING SCHEDULE 2019 **Appendix D**

The Director of Delivery, Communications and Political Governance submits a report, which provides an update on the Strategic and Operational Risk Registers, Claims & Health Safety data and an updated Risk Training schedule.

10. FINANCIAL AND ACCOUNTANCY DEVELOPMENTS UPDATE **Appendix E**

The Chief Accountant submits a report, which provides an update on key changes currently affecting the Council, and which may have an impact on the work of the Committee.

11. PRIVATE SESSION

Members of the Public to Note

Under the law the committee is entitled to consider certain items in private where in the circumstances the public interest in maintaining the matter exempt from publication outweighs the public interest in disclosing the information. Members of the public will be asked to leave the meeting when such items are discussed.

The Committee is recommended to consider the following reports in private on the grounds it will contain "exempt" information as defined by the Local Government (Access to Information) Act 1985, as amended, and consequently makes the following resolution:

"that the press and public be excluded during consideration of the following report in accordance with the provisions of Section 100A(4) of the Local

Government Act 1972, as amended, because it involves the likely disclosure of “exempt” information, as defined in the Paragraph 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).

This report concerns the strength of internal controls of the City Council’s financial and management processes and includes references to material weaknesses and areas thereby vulnerable to fraud or other irregularity. It is considered that the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

INTERNAL AUDIT UPDATE REPORT

12. INTERNAL AUDIT UPDATE

Appendix F

Leicestershire County Council’s Head of Internal Audit & Assurance Service submits a report, which provides a summary of progress against the Internal Audit Plan 2018-19, a summary information on high importance recommendations and progress with implementing them, and a brief update on Leicestershire County Council’s Internal Audit Service’s resources.

13. ANY OTHER URGENT BUSINESS



Leicester
City Council

Appendix A

Minutes of the Meeting of the
AUDIT AND RISK COMMITTEE

Held: WEDNESDAY, 12 SEPTEMBER 2018 at 5:30 pm

P R E S E N T:

Councillor Riyait (Chair)

Councillor Alfonso

Councillor Dr Moore

Councillor Bajaj

* * * * *

29. APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillor Westley, Councillor Dr Chowdhury and the Director of Finance.

30. DECLARATIONS OF INTEREST

Members were asked to declare any interests they may have in the business on the agenda.

There were no declarations of interest.

31. MINUTES OF THE PREVIOUS MEETING

RESOLVED:

That the minutes of the meeting held on 25th July 2018 be confirmed as a correct record.

32. DRAFT ANNUAL REPORT OF THE AUDIT AND RISK COMMITTEE TO COUNCIL 2017-18

The Director of Finance submitted the draft annual report of the Audit & Risk Committee to Council setting out the Committee's achievements over the municipal year 2017-18.

Colin Sharpe presented the report and it was noted that the committee terms of reference approved by council required that an annual report be submitted.

There was a brief discussion about the continuity of membership and member

attendance. The committee felt it was important to support new members and for there to be continuity of membership and Chairing to develop understanding and to enable a positive contribution to be made to a well-functioning committee.

The Chair commented that the test was that whoever was appointed was contributing effectively and on the basis of this report that appeared to be happening.

The Chair emphasised the importance of member training sessions ahead of meetings that strengthen the committee.

Officers agreed that regular training sessions should continue to be offered and advised that the current Terms of Reference for the committee were being revised with a focus on clarifying and strengthening the committee.

The Chair thanked officers for the report.

RESOLVED:

That the Annual Report of the Audit & Risk Committee to Council covering the municipal year 2017-18 be approved and submitted to Council.

33. HOUSING BENEFITS SUBSIDY ARRANGEMENTS UPDATE

The Director of Finance submitted a report updating on the Housing Benefit Subsidy arrangements for the authority.

Caroline Jackson, Head of Revenues and Customer Support presented the report which included an update on the current audit regime, the subsidy qualification loss and the measures in place to minimise the loss, an update on the next steps to continue the improvement journey and how the service promoted customers reporting a change in circumstances.

Members discussed the report during which the following comments were made:

- Clawback was recovered from people where possible usually as a deduction out of their housing benefit. With universal credit although an application could be made to DWP to deduct, it fell very low down on the list of priority debtors and was therefore not likely to be recovered.
- There was an option for claimants to phone through and notify changes although that was not to a dedicated number, however the call flow had tiers and within that “change in circumstances” calls were classified as tier 2 calls which were prioritised with an average call waiting time of 4 minutes.
- The online reporting mechanism was a stand alone e-form, this was not yet integrated into back office although there were plans to move towards that next year. It was intended that the form would be easy to find and complete. Officers as well as members of the public would test accessibility to the form using the council’s website.

- There were challenges on the customer call centre due to the high volumes of calls coming through. This was being managed with an action plan in place (reviewed last August) and training for everyone who worked in the call centre.
- In the 8 weeks since the introduction of Universal Credit the team had received 4,000 online notifications from DWP of which only 15% had an impact on a claim which meant that 85% had to be checked which had no impact. The team had to look at all of the notifications to ascertain if there was an impact on a claim.
- It was noted that 14 local authorities had been invited to a DWP and stakeholder meeting to express concerns about strategic management of Universal Credit and the impact on local authorities. The committee shared the concerns of officers about the high levels of notifications and strategic management of Universal Credit by DWP and asked for feedback from the stakeholder meeting.

Members noted difficulties in retention of staff/recruitment and were advised that the service area was currently running with 15 vacancies. A new 3-year contract was to start shortly with Civica - a company that would help to deal with a third of the change of circumstance cases. The council would continue to manage more complex cases whilst they managed the lesser ones coming through. With the contract in place and efficiencies being brought in, the service was confident the workload will be manageable and were therefore not looking to fill vacancies at this point.

In terms of staff retention, the extension of the full roll out of Universal Credit to 2022 had not helped, the service was maintaining training, IT procedures had been refreshed and there were morale boosters such as a dress down day every month plus activities that staff were encouraged to participate in so that the workplace was somewhere they wanted to be.

Members expressed concerns regarding the delays encountered with the statutory audit by KPMG and noted the difficulties for officers in fulfilling statutory obligations as KPMG hadn't done work in a timely manner.

Members were informed there had also been a delay to the external audit sign off of the Council's accounts by the end of July despite assurances given at the last meeting and it was suggested that corporate issues within KPMG were impacting. Members noted that the Director of Finance had written to KPMG and the Chair asked that KPMG's response to that letter be shared and to be kept informed of the situation.

Members agreed that a letter from the Chair expressing the concerns of the committee should be written to KPMG.

The Chair asked for the committee to be updated on progress regarding the Housing Benefit Subsidy arrangements to a future meeting.

RESOLVED:

1. That the contents of the report be noted,

2. That the Chair write to KPMG to express the concerns of the committee over delays and impact on the local authority audit process,
3. That an update be brought to a future meeting.

34. ANNUAL REPORT ON THE NATIONAL FRAUD INITIATIVE (NFI)

The Director of Finance submitted a report to provide an update on the National Fraud Initiative exercises currently underway.

Members noted that National Fraud Initiative was a bi-annual project reported on annually.

RESOLVED:

That the contents of the report be noted.

35. REVIEW OF THE ANTI-FRAUD, BRIBERY AND CORRUPTION POLICY AND STRATEGY

The Director of Finance submitted a report on the annual review of the Anti-Fraud, Bribery and Corruption Policy, as required under the Terms of Reference of the Audit & Risk Committee.

Members noted that there were no significant changes other than the internal audit service was now provided by the county council and the policy remained fit for purpose.

Members also noted the benefits from the excellent working relationship with the county council team who had shared their e-learning package which would be tailored for city council staff and rolled out for training.

RESOLVED:

That the Anti-Fraud, Bribery and Corruption Policy be approved.

36. CORPORATE COMPLAINTS (NON STATUTORY) 2017-18

The Director of Finance submitted an update report on Corporate Non Statutory Complaints 2017-18.

Caroline Jackson, Head of Revenues and Customer Support outlined the report.

The committee noted that:

- the delivery function for Corporate Complaints had transferred to the Revenues and Customer Support Service as of February 2018 as part of the Business Service Centre review,
- there was an overall reduction in the number of complaints received - down 23% compared to last year with 38% of complaints received being

- triaged to appropriate service areas to respond to,
- of the complaints investigated 23% were justified, 48% not justified and the remainder partly justified,

Members were informed that a corporate complaints policy was being drafted which would be brought to the November 2018 committee meeting with a view to being implemented by January 2019.

Members were invited to ask questions and during discussion the following points were made:

- In terms of staff attitude and behaviour in phone calls, this was tackled if raised as an issue.
- Support was given to staff who had a bad experience with a customer and they were encouraged to report if they received verbal abuse. Call handling training was given to all staff and the service received upwards of 41,500 calls a month therefore quantity of complaints overall was a small number.
- In terms of complaints about the speed of service this mainly related to Revenue Services Support and notifications of change of circumstances. Responses to such complaints were often about making sure decisions were made as quickly as possible.
- There were several ways for customers to lodge a complaint. Of those made last year 900 were made by phone, 400 came via email but only 4 were made using the on line My Account option. My Account customer journey could be improved and the service was working with the digital transformation lead to review My Account customer journeys to make it more user friendly.
- There were currently 26 vexatious complainants supported by the team, these took up a lot of resource and they often made multiple contacts over a variety of mediums - email and phone.

The Chair thanked officers for the progress in this area.

RESOLVED:

1. That the contents of the report be noted,
2. That the Corporate Complaints Policy be brought to the March 2019 meeting for consideration.

37. PRIVATE SESSION

Into Private Session.

RESOLVED:

That the press and public be excluded during consideration of the following report, in accordance with the provisions of Section 100A(4) of the Local Government Act 1972, as amended, because it involved the likely disclosure of "exempt" information, as defined in the Paragraph detailed below of Part 1 of Schedule

12A of the Act, and taking all circumstances into account, it was considered that the public interest in maintaining the information as exempt outweighed 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 Report

38. INTERNAL AUDIT UPDATE REPORT

The Head of Internal Audit & Assurance submitted the Internal Audit update report showing progress against the 2018/19 audit plan, outcomes of audits and an update on high importance recommendations.

It was noted that the forthcoming review of the committees Terms of Reference would consider how an audit update could be presented in public session to improve transparency.

Members noted the contents of the appendices referred to.

The Chair referred to a number of recent data breaches reported and enquired whether there was any audit involvement. It was advised that there was an audit in relation to the new GDPR regulations conducted by an IT auditor to effectively understand where the council was with revised processes and there would be further follow up work in relation to that in December 2018. Members were assured that the framework in place was generally good and that errors usually came down to human error. It was noted that the council also had its own information governance team that investigated data breaches and decided whether to report those on.

RESOLVED:

That the contents of the report be noted.

39. ANY OTHER URGENT BUSINESS

The Chair reported that he was due to meet with the Monitoring Officer to explore the options available regarding the one related party disclosure that remained outstanding as discussed at the last meeting and he would report to the committee in due course.

There being no further business the meeting closed at 7.08pm.



Counter-Fraud Update Report 2018-19

Audit & Risk Committee

Date of committee meeting: 19 December 2018

Lead director: Alison Greenhill

Useful information

- Report author: Stuart Limb (Corporate Investigations Manager)
- Author contact details: 0116 454 2615 / 37 2615 stuart.limb@leicester.gov.uk
- Report version: V4

1. Purpose of report

- 1.1 The purpose of this report is to provide a mid-year update to the Audit and Risk committee on the work carried out by the Corporate Investigations Team for the period 1 April 2018 to 30 September 2018.

2. RECOMMENDATIONS

- 2.1 The Audit and Risk Committee is recommended to:
- a) Receive and comment on the report;
 - b) Make any recommendations or comments it sees fit either to the Executive or the Director of Finance.

3. BACKGROUND

- 3.1 This report includes statistical information on fraud cases. A report on the Council's counter fraud activity was presented to Members of the Audit and Risk Committee on 25 July 2018 and therefore this report seeks only to update Members on statistical information where it is available.
- 3.2 As part of its work, the Corporate Investigations Team investigates suspected financial irregularities and makes recommendations to reduce the risk of further losses and improve performance, efficiency, effectiveness and economy in the use of resources by the Council.
- 3.3 The work focus this year has continued to build on the momentum establishing indicative savings for the avoidance loss cases to demonstrate the value of the work undertaken by the team. A summary of the savings definitions can be found in appendix A.

4 THE FIRST SIX MONTHS IN SUMMARY

4.1 During the period covered by this report the Corporate Investigations Team have achieved savings on Right to Buy Cases, Tenancy Frauds, and recovery of outstanding debt, Council Tax Reduction Scheme, Single Person Discount frauds, school admission fraud and empty residential properties being reclassified as occupied.

4.2 For the authority the total combined loss avoidance and income generated savings is £757,000.

- Loss avoidance savings represent 77% £584,000
- Income generated savings represent 23% £173,000.

4.3 The team continues to work across the authority to reduce the risk of loss and fraud; this is a collaborative approach for example verifying Right to Buy (RTB) applications for council homes. All RTBs are subject to background checks by the investigations team and where irregularities or concerns are raised the issues are addressed by Legal Services, the RTB team and corporate investigations. This not only identifies irregularities but provides a higher level of assurance for sales to tenants.

4.4 Work continues in developing the region wide counter fraud intelligence hub funded by the Ministry of Housing, Communities and Local Government on behalf of all Local Authorities across Leicester, Leicestershire and Rutland. The data warehouse, data sharing agreements and a prosecution policy are now in place which permits multiple data sets from the councils to be cross matched with irregularities being investigated. A recent exercise included reviewing empty discounts claimed on residential properties, the work identified multiple properties that were in fact occupied, which resulted in the correct billing of council tax liability and gaining additional funding under the new homes bonus scheme.

4.5 The team continues to investigate a variety of non-benefit related cases and provide advice and assistance to management.

5. REVIEW OF PERFORMANCE

5.1 Statistical information on the performance of the Corporate Investigations Team is detailed in the table below.

Registered	233
Screened out	69
Investigations founded	45
Investigations In Progress	120
Cautions Accepted	2
Administrative Penalties Accepted	1
Prosecutions - Successful (Guilty)	1
Total files with Solicitors	2

6 THE YEAR AHEAD

- 6.1 The report presented to the Committee on 25th July 2018 outlined the major objectives for the Corporate Investigations Team over coming months. The team will continue to undertake reactive and proactive investigations and initiatives internally and across Leicestershire to identify and reduce the risk of fraud.
- 6.2 The Corporate Investigations Team will be undertaking a project into identifying falsely claimed Small Business Rate Relief across the city. If this yields results and income for the authority, this project will be replicated across Leicestershire for all other Local Authorities who form the Intelligence hub. This will continue to utilise the funding from the Ministry of Housing, Communities and Local Government (MHCLG) received by the authority.

7. ACKNOWLEDGMENT

The Director of Finance acknowledges the efforts of all members of the Corporate Investigations Team, and the help, co-operation and support of Members and officers of the City Council.

8. FINANCIAL, LEGAL AND OTHER IMPLICATIONS

8.1 Financial implications

Fraud can cause the Council significant loss; hence activity to prevent and detect fraud is a clear financial investment.

Colin Sharpe
Head of Finance

8.2 Legal implications

Fraud is a criminal offence and therefore represents breach of the law. Other forms of financial irregularity, though not criminal, may be in breach of regulation. The conduct of counter-fraud work of all kinds is bound by law and regulation and the Council is careful to ensure that its activities in this area are properly discharged.

Kamal Adatia
City Barrister & Head of Standards

8.3 Climate Change and Carbon Reduction implications

This report does not contain any significant climate change implications.

Duncan Bell
Senior Environmental Consultant

9. OTHER IMPLICATIONS

OTHER IMPLICATIONS	YES/NO	Paragraph References Within Supporting Information
Equal Opportunities	No	
Policy	No	
Sustainable and Environmental	No	
Crime and Disorder	Yes	This report is concerned with fraud and corruption, both of which are criminal offences.
Human Rights Act	No	
Elderly/People on Low Income	No	
Corporate Parenting	No	
Health Inequalities Impact	No	
Risk management	Yes	Whole document

10 BACKGROUND PAPERS – LOCAL GOVERNMENT ACT 1972

Leicester City Council's Anti-Fraud, Bribery and Corruption Policy
 Leicester City Council's Finance Procedure Rules
 Leicester City Council's Constitution
 Leicester City Council's Code of Conduct for Behaviour at Work
 Leicester City Council's Information Security Policy Statement
 Leicester City Council's Prosecutions Policy
 Leicester City Council's Investigators Code of Conduct
 Public Bodies Corrupt Practices Act 1889
 Chartered Institute of Public Finance & Accountancy (CIPFA) publication
Managing The Risk of Fraud
The Prevention of Social Housing Fraud Act 2013

Appendix A

A summary of the savings definitions

Nature of investigation	Indicative saving per incident	Loss avoidance	Actual saving
Right To Buy	£36,230	£217,380	
Small Business Rate Relief	Actual reduction of business rates		£8,956
Council Tax Discounts	Actual overpaid discount		£2,007
Council Tax Support	Actual overpaid amount		£9,762
Housing Tenancy	£36,230	£108,690	
Schools Admissions	£19,588	£228,511	
Blue Badge	£2,340	£11,700	
Empty residential properties	£7,650		£152,692
Employee misconduct	Half of annual salary	£18,222	
Totals		£584,503	£173,417

How savings are calculated

Blue Badge	Average cost of on street parking is £9 per day X 5 days X 52 week = £2,340 in notional savings in lost revenue for parking
Tenancy / RTB	Average LCC tenancy X average LCC rent = 10 years (50 rent weeks per year) X £72.46 = £36,230
LCTRS	Actual overpayment in each case
Direct Theft & Social Care	Accurate figures identified as stolen
Empty homes bonus	National Average Band D x 4 years = £1,530 x 5 = £7,650 per case identified



Complaints Policy & Procedure for Managing Vexatious Customers

Report to the Audit & Risk Committee

Date of Meeting: 19 December 2018

Lead director: Alison Greenhill

Useful Information

- Ward(s) affected: All
- Report author: James Rattenberry, Principal Policy Officer
Nilkesh Patel, Service Improvement Manager
- Author contact details: 0116 454 1616 / 37 1616
James.rattenberry@leicester.gov.uk
0116 454 2505
nilkesh.patel@leicester.gov.uk
- Report version number plus Code No from Report Tracking Database: v.1

1. **Purpose of Report**

- 1.1 The Audit & Risk Committee is asked to note the Revenue & Customer Support Service's implementation of a written Corporate Complaints Policy and Procedure to Manage Vexatious Customers that will ensure a clear and standardised approach for dealing with corporate complaints and customer who exhibit inappropriate behaviour.

2. **Background**

- 2.1 Since April 2016 we have been operating a single stage non-statutory complaints regime, streamlining the process and providing a flexible approach to handling a complaint dependent upon its nature and complexity. The "triage" process successfully determines the route of the complaint and who will need to be involved. The purpose of this report is to put in place a written policy to support this standardised regime.
- 2.2 The Council currently receives complaints in relation to a variety of services. Complaints are separated into categories based on the subject of their complaint and/or the service responsible. This policy is concerned with corporate complaints only. Complaints around Councillors, Children Services and Adult Social Care have their own complaints policy and procedure and so are not affected by the proposed policy.
- 2.3 Currently the process for managing corporate complaints and vexatious customers is written across various documents available to staff but no official written policy exists either internally or externally.

3. **Recommendations**

- 3.1 The Audit & Risk Committee is asked to note and comment where appropriate on the proposed complaints policy and procedure for handling vexatious customers.

4. **Report /Supporting information:**

- 4.1 The purpose of this report is to address this lack of a written policy thereby mitigating the risk that customers are not receiving a standardised level of service. The lack of a written policy also increases the risk of confusion between the Council and members of the public as no explicit definition of what counts as a complaint has been adopted.
- 4.2 The aim of the policy is to ensure that corporate complaints are identified in a standardised manner.
- 4.3 The policy will also inform customers how the Council will deal with their complaints and what the complaints process is including an outlining of the Council definition of what a corporate complaint is, the reporting process and how the Council will investigate the complaint.
- 4.4 We have drafted guidance for managing vexatious customers to be used on occasions when a complainant's expectations are inappropriate or they make inappropriate persistent complaints, or a combination of the two, in such a way that they impede the complaint investigation or other council work. The guidance outlines the necessity to give the complainant fair warning that they are acting inappropriately and could be reprimanded as a result. If the complainant is persistent in their inappropriate behaviour the guidance sets out the restrictions that can be imposed on the complainant and dictates that a vexatious customer can only contact the council through a single point of contact, currently the Complaints Manager.
- 4.5 The Local Government Ombudsman (LGO) and Housing Ombudsman (HO) are independent bodies that investigate complaints from the public about councils and other public service providing bodies. The LGO and HO begin investigations once a local authority or public body has exhausted its own complaints procedure with no resolution reached. The LGO produce various reports on best practice around complaints to avoid such a situation which have been utilised in the creation of these policies.
- 4.6 The new complaints policy and guidance embodies the good practice approaches set out by the LGO to ensure services are of the required standard. In its creation it was ensured that the complaints policy focused on the key features set out by the LGO in their "Guidance on Running a Complaints System". These key features are accessibility, timeliness, communication, fairness, credibility and accountability.
- 4.7 Below is a table demonstrating how the proposed corporate complaints policy includes these key features listed above:

Accessibility	The proposed written complaints policy is intended to be external facing and readable by any members of the public. The policy will be made easily accessible through publication on the council site.
Communication	The proposed policy makes it clear to individuals when the

	council will look to communicate with them throughout the complaints process. Individuals will be contacted at an early stage if an initial review of their complaint deems it necessary. The policy itself also represents a key element of communication between the council's strategy, its staff and the public.
Timeliness	The proposed written policy will inform individuals when to expect a response from the council based on the complexity of the complaint they made. The policy contains no guarantee of when a complaint will be resolved however; the council will try to resolve a complaint within a 10 week period. This is within the 12 week guideline recommended by the LGO.
Fairness	The complaints policy sets out that the council "welcomes complaints from all sections of the community" and that all individuals will be engaged with on an equal basis. The policy clearly sets out the process and the role of staff in handling individual complaints. The resolution process has been kept vague in order to ensure that the council can respond in a manner appropriate to each individual complaint.
Credibility	The written policy specifies a complaints manager who can take an overview of the system and make changes where necessary. The Complaints Manager will provide leadership over the process and have the authority and independence to ask questions and alter the process.
Accountability	The proposed corporate complaints policy has been written in a clear style and will be promoted in an open manner. The policy contains a section on the regular reviewing and monitoring of the process ensuring the system is subject to periodic reviews where changes can be made if necessary.

4.8 It is proposed that the Policy and Procedure will take effect from 1 January 2019.

5. Financial, Legal and other Implications

5.1 Financial Implications

There are no significant financial implications arising directly from this report, although the proposed policies should promote the more effective and efficient use of officer time.

Colin Sharpe, Head of Finance, ext. 37 4081

5.2 Legal Implications

There are no direct legal implications arising from this report as it is just for noting.

As background, the Local Government Ombudsman will usually want to see that a complaint has been through the Council's complaint process prior to

considering it. Having a robust process and policy in place for complaints will assist the Council in ensuring that complaints can be dealt with prior to reaching the LGO and reduce the likelihood of an LGO complaint being necessary, allowing for resolution at an earlier stage. The policy ensures we are complying with the standards the LGO expects of local authorities.

Emma Horton, Head of Law (Commercial, Property & Planning)

5.3 Climate Change and Carbon Reduction Implications

There are no significant climate change implications associated with this report.

Aidan Davis, Sustainability Officer, Ext 37 2284

5.4 Equalities Implications

There are no direct equalities implications arising from the report as it is just for noting.

However, it is worth noting that under the Equality Act 2010, public authorities have a Public Sector Equality Duty (PSED) which means that, in carrying out their activities (including the development of or changes to policies and procedures), they have a statutory duty to pay due regard to the need to eliminate unlawful discrimination, harassment and victimisation, to advance equality of opportunity between people who share a protected characteristic and those who don't and to foster good relations between people who share a protected characteristic and those who don't.

Protected Characteristics under the Equality Act 2010 are age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation.

A clear corporate complaints policy which is easy to read and understand will benefit people from across all protected characteristics as the service that they receive will be standardised as a result and customers will be clear on what they can expect from the Council when raising a complaint. The draft Corporate Complaints Policy supports the general aims of eliminating unlawful discrimination and advancing equality of opportunity by explicitly stating that complaints are welcomed from all sections of the community, that complaints will be dealt with fairly and impartially and that steps will be taken to meet customers' specific needs

In terms of the procedure for managing vexatious customers, it is recommended that a screening equality impact assessment is undertaken to explore whether a full Equality Impact Assessment is required.

Hannah Watkins, Equalities Manager ext. 375811

5.5 **Other Implications**

N/A.

6. **Background Information and other papers**

Guidance on Running a Complaints System – LGO

<https://www.lgo.org.uk/information-centre/reports/advice-and-guidance/guidance-notes/guidance-on-running-a-complaints-system>

Good Administrative practice: Guidance on Good practice – LGO

<https://www.lgo.org.uk/information-centre/reports/advice-and-guidance/guidance-notes/good-administrative-practice>

Corporate Compensation Policy -

<http://www.cabinet.leicester.gov.uk:8071/documents/s62783/CorporateCompensationPolicy.pdf>

7. **Summary of Appendices**

Appendix 1: Corporate Complaints Policy 2018

Appendix 2: Procedure on Management of Vexatious Customers

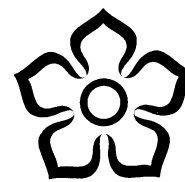
8. **Is this a private report (If so, please indicate the reasons and state why it is not in the public interest to be dealt with publicly)**

No.

9. **Is this a “key decision”?**

No.

10. **If a key decision please explain reason**



Corporate Complaints Policy

1. Introduction

1.1 Leicester City Council ('the Council') recognises the importance of complaints from its residents and their value as a form of feedback about the services we provide and are responsible for.

2. What is a complaint?

2.1 The Council defines a corporate complaint as:

An expression of dissatisfaction about the standards of our services; or the actions or lack of action, by the council, its staff, contractors or volunteers that requires a response, that you have been unable to resolve with the service directly in the first instance.

2.2 This may include, but are not limited to:

- Allegations of unreasonable delay;
- Unreasonable behaviour by a Council employee towards an individual;
- Poor quality service provision;
- Policy procedure not followed.

2.3 The following issues are **not** defined as a complaint by the Council and instead the resolution of which are treated as a part of the Council's normal day-to-day duties:

- Appeals or situations where the customer has not exhausted the service area's resolution process;
- Service queries;
- General comments or feedback;
- Initial requests for service provision;
- Initial reporting of issues (e.g. potholes);
- Concerns in relation to council strategy;
- Occasions where the service has not been made aware of your dissatisfaction and been given an opportunity to resolve the matter.

2.4 The Council is unable to deal with complaints that are outside of its control. Examples of such complaints include:

- Matters of law or central government policy;
- Decisions that have been made by elected members;
- Where the customer or the Council has started legal proceedings;
- Complaints that have already been decided by a court, independent tribunal or Ombudsman.

2.5 There are separate legal requirements for dealing with statutory services such as Adult Social Care or Children’s Services. These service areas have their own separate complaints processes and are not considered under the Corporate Complaints policy.

2.6 To make a complaint about Adult Social Care:

<https://www.leicester.gov.uk/contact-us/comments-compliments-and-complaints/adult-social-care-comments-and-complaints/>

2.7 To make a complaint about Children’s Services:

<https://www.leicester.gov.uk/health-and-social-care/childrens-social-care/social-care-complaints/>

2.8 To make a complaint about a councillor: <https://www.leicester.gov.uk/contact-us/comments-compliments-and-complaints/complaints-about-councillors/>

2.9 To make a complaint relating to a school:

<https://www.leicester.gov.uk/media/182272/school-complaints-guidance-leaflet-dec-2016.pdf>

2.10 To report an environmental issue:

<https://www.leicester.gov.uk/your-environment/report-an-environmental-issue/>

3. How can I make a complaint?

3.1 Complaints can be made in the following ways:

- Via the online self-service portal at <https://my.leicester.gov.uk/MyFeedback> - this is our preferred method and will ensure the swiftest possible response;
- In person at the Customer Service Centre;
- By telephone on 0116 454 1000;
- By emailing customer.services@leicester.gov.uk;
- By writing to “Comments, Compliments and Complaints, Customer Services, Leicester City Council FREEPOST LE985/33, CITY Hall, 115 Charles Street, Leicester, LE1 1FZ”.

4. Can I make a complaint?

4.1 Anyone who receives or is seeking to receive a service from the Council can make a complaint subject to the criteria above. This includes anyone acting on behalf of someone else with their permission, such as friends, family members or representatives. Those acting on behalf of someone must provide written authorisation that will then be retained on file and provide ID to ensure they are the person authorised.

4.2 The Council welcomes complaints from all sections of the community. The Council is committed to ensuring all individuals are dealt with on an equal basis and are treated with respect and courtesy at all times. To achieve this we will deal with complaints fairly and impartially. If customers have particular needs we will do our best to meet these needs to ensure our complaints procedure is accessible and non-discriminatory.

5. How will you deal with my complaint?

5.1 In the first instance your complaint will be reviewed to see if it meets the definition of a complaint. If it is a request for service or a comment on services, or if the service has not had the opportunity to put right or respond, it will not be treated as a formal complaint in the first instance.

5.2 If your complaint does meet our definition, it will be allocated to a Complaints Officer independent of the service in question. An investigation will take place conducted by the Complaints Officer who will investigate with the service concerned. We may contact you for further details to progress our investigation.

5.3 When a complaint is made, the Council will acknowledge your complaint and advise you how we will deal with the complaint within 3 working days. Depending on the complexity, the time taken to resolve any complaint may vary, however we will try to reach a resolution within 10 weeks of the complaint being received.

5.4 During the investigation, we may need to extend the response deadline where there is good cause to do so. We will inform you of any extension to manage your expectations as to the time we will be able to fully respond.

5.5 We will write to you with the findings of our investigation and we will advise you that should you remain dissatisfied with the independent response you may raise the issue with the Local Government and Social Care Ombudsman, or Housing Ombudsman for housing related complaints.

6. What action will be taken as a result of my complaint?

6.1 The Council will consider offering appropriate redress where necessary on a case by case basis. This may take a variety of forms. Where necessary the Council will aim to take corrective action as soon as possible and will review its service practice.

7. How will my personal data be used?

7.1 The Council is committed to ensuring personal data is properly collected and then managed. For complaints it may be necessary for us to collect personal data, including name, contact details and address, in order to keep in touch and communicate outcomes and updates on potential investigations.

Data collected in relation to complaints made will be retained on record as per the Council's official retention schedule here:

<https://www.leicester.gov.uk/media/180081/retention-schedule-2018.pdf>

To read more about our privacy policy please visit <https://www.leicester.gov.uk/your-council/how-we-work/our-website/privacy/>.

8. What further action can I take if my complaint has not been resolved?

8.1 Should you remain dissatisfied with the outcome of your complaint you will be advised that you may contact the relevant Ombudsman. Their address and telephone numbers are detailed below:

Local Government and Social Care Ombudsman,
PO Box 4771, Coventry, CV4 0EH
Telephone: 0300 061 0614

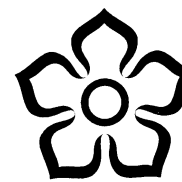
Housing Ombudsman,
Exchange Tower, Harbour Exchange Square, London, E14 9GE
Telephone: 0300 111 3000
Email: info@housing-ombudsman.org.uk
Call: 0116 454 1000

9. Policy Review

9.1 The policy will be reviewed when necessary and whenever the Council receives best practice guidelines from the Local Government Ombudsman and any relevant changes to legislation.

10. Relevant Legislation

- The Data Protection Act 1998 & 2018;
- The Freedom of Information Act 2000;
- The Human Rights Act 1998;
- Environmental Protection Act 1990 (as amended) Section 79;
- The Education Act 1996.



Procedure for Managing Vexatious Customers

1. Introduction

1.1 Wherever possible, Leicester City Council ('the Council') takes all appropriate action to investigate complaints fully and resolve our customers' issues. However, there are occasions where customer behaviour prevents this from happening.

2. Inappropriate Complainant Behaviour and Persistent Complaints

2.1 This guidance is to be used on occasions when a complainant's actions are manifestly unjustified, inappropriate, represent an improper use of a formal procedure and/or when persistent complaints are made, or a combination of the two in such a way that they impede the complaint investigation or other Council duties. This behaviour can happen either while their complaint is being investigated, or once the Council has finished dealing with the complaint.

3. Examples of Inappropriate Behaviour

3.1 Examples of what we might consider to be inappropriate behaviour are shown below. The list is not exhaustive, nor does one single feature on its own necessarily imply that the person will be considered as being in this category:

- Using abusive or foul language via any medium;
- Any form of intimidating or threatening behaviour;
- Attempting to communicate in an inappropriate, time-consuming way such as by leaving multiple emails or calling many times in relation to the same issues already responded to by service departments;
- Complaints made that are groundless;
- Making repeated complaints about the same topic despite exhausting the complaints procedure previously.

4. Before Categorising a Customer as Vexatious

4.1 Before a complainant can be categorised as vexatious, the following process must be followed:

4.2 The relevant service must gather data on an individual that explains why they are acting in an inappropriate manner and provide a timeline of events to be given to the Complaints team. Following this, the service should send out a warning letter to the complainant which explains why their behaviour is inappropriate and that they are at risk of being categorised as vexatious.

4.3 On taking any of the above actions, the service should also create a record using the template below to be logged with the Complaints team. From the service a timeline of the number of contacts needs to be created with the following:

Date	Time	Officer time taken on matter	Outcome to date

As well as the data recorded in this template, the service should also collect details of previous correspondence for all dates recorded.

4.4 Should the complainant continue to demonstrate inappropriate behaviour or persistence, then they should be categorised as **pre-vexatious**. At this point the customer will be sent a final warning in relation to their behaviour that will outline the restrictions they could potentially face, should they continue. In addition, the letter will notify the customer that they may now only contact the Council through a single point of contact – either the Complaints Manager or another officer delegated on their behalf.

4.5 Should the complainant continue to demonstrate inappropriate behaviour or persistence subsequent to the above action being taken, then the Complaints Manager may categorise the individual as **vexatious**. The relevant individual will be notified as such and appropriate contact restrictions may be put in place as outlined below.

4.6 Every 4 months pre-vexatious and vexatious customers will have their situation reviewed by the complaints manager to determine if they are categorised appropriately. At this point, the complaints manager will evaluate their complaint and behaviour and either maintain their current categorisation, re-categorise them or remove any vexatious or pre-vexatious status.

5. Imposing Restrictions

5.1 It is the role of the Complaints Manager to determine whether a complainant is acting inappropriate and/or persistent manner. If the Complaints Manager deems that the complaint is inappropriate or persistent in nature they will review the entire details of the customer record and correspond with the customer as to why the complaint was deemed to be inappropriate or persistent. Following this, the Manager will inform the complainant of the action the Council has chosen to take against them. In such exceptional circumstances, the Council has the right to specify how the individual complaint will be handled and how future contact from the complainant will be permitted.

5.2 These actions may include:

- Refusing to accept any further phone calls from the complainant or anyone calling on the complainants behalf
- Terminating any calls made to the Council by the complainant
- Refusal to grant any further meetings with the complainant
- Allowing limited contact with the Complaints Manager or a nominated person
- Limiting the type of correspondence the complainant can make.

5.3 All future correspondence that the complainant makes to the Council must be retained on record in line with s13.06-13.10 in the retention schedule here: <https://www.leicester.gov.uk/media/180081/retention-schedule-2018.pdf> .

Furthermore, the Complaints Team must continually review all future correspondences with the complainant to ensure limited contact is still necessary. A review is likely to happen if:

- The complainant provides new, important information of the complaint to require it to be reassessed.
- The complainant has a wholly separate complaint which warrants the use of the general complaints procedure.
- The complainant shows a change of attitude and behaviour when dealing with the Council.

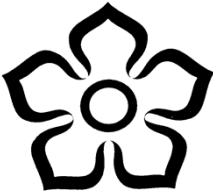
5.4 Once a complainant has been categorised as ‘inappropriate and/or persistent,’ their access will be limited in some way. This will be reviewed and customers will be advised accordingly.

6. Assessing new complaints from vexatious customers

6.1 New complaints from people who have acted unreasonably before will be treated on their merits on a case by case basis. The Complaints Manager will decide whether any restrictions which have been applied before are still appropriate and necessary in relation to the new complaint. The council does not support a blanket policy of ignoring genuine service requests or complaints where they are well founded.

7. Record Keeping

7.1 It is the Council’s policy to keep relevant personal data collected from complainants for a maximum of 18 months **after a complaint has been resolved**, as deemed by the council. If a complainant is ever categorised as a vexatious customer, then this will be recorded as such until this 18 month period has passed. Interaction between the council and such an individual will, in this period, be informed by section 4 of this guidance.



Leicester
City Council

WARDS AFFECTED:

Corporate Management Team - Agree
Audit and Risk Committee - Note

5th December 2018
19th December 2018

**Strategic and Operational Risk Registers/Health & Safety and Insurance
Claims Data/Risk Training Schedule 2019**

Report of the Director of Delivery, Communications and Political Governance

1. Purpose of the Report

To present to the Audit and Risk Committee (A&RC) an update on the Strategic and Operational Risk Registers, Claims & Health Safety data and an updated Risk Training schedule:

- **Appendix 1**, the Strategic Risk Register (SRR) providing a summary of the strategic risks facing the council affecting the achievement of the strategic objectives of the council;
- **Appendix 2**, supports appendix 1, which provides the detail in relation to the council's strategic risks;
- **Appendix 2a** to inform where changes have been made to the SRR since the last quarter;
- **Appendix 3**, the Operational Risk Register (ORR) exposure summary, provides a high-level summary of the operational risks, which affect the day to day operations of the divisions. Such risks are assessed by Divisional Directors with a risk score of 15 or above for consideration;
- **Appendix 4**, the ORR, supports Appendix 3, the summary of the ORR, which provides the detail in relation to the council's operational risks;
- **Appendix 4a**, provides details of where changes are made to the ORR since the last quarter;
- **Appendix 5**, Insurance Claims Data for the current financial year as at 30th September 2017;
- **Appendix 6 – Health and Safety Data** - Number of Incidents by Incident Type;
- **Appendix 7**, informs of the training schedule for 2019, covering risk, business continuity and emergency volunteering.

2. Recommendations

A&RC is asked to:

- Note the SRR and ORR as at 31st October 2018, subject to any changes made by the Corporate Management Team as reported to the meeting on 5th December;
- Note the Insurance Claims Data;
- Note the Health and Safety Data;
- Note the training timetable for 2019;
- Note the progress being made with reviewing Divisional Risk Registers;
- Make any comments to the Director of Delivery, Communications and Political Governance.

3. Background

- 3.1 The Council's 2018 Risk Management Strategy requires the development, maintenance and monitoring of both the SRR and ORR.
- 3.2 Both the SRR and ORR process is owned and led by the Head of Paid Service. The Corporate Management Team support the strategic risk register process documenting the key strategic risks facing the council and help to ensure these are managed. It complements the operational risk register process which is supported and managed by the Divisional Directors and their divisional management teams. Both registers are populated and maintained by the Manager, Risk Management, Risk, Emergency & Business Resilience (REBR) for this group.
- 3.3 The insurance claims data is also provided to the A&RC and is a useful measure of performance (assessed by claims repudiated) and claims received from 1st April 2018 to 30th September 2018. **Paragraph 4.15** provides more detail.

4. Report

- 4.1 The SRR has been compiled following a review by all Strategic Directors and has been updated. The summary of the strategic risks is attached as **Appendix 1** and **Appendix 2** provides comprehensive detail of the risks. The **Strategic Risks** worksheet of **Appendix 2** is the final version of the SRR and **worksheet 'Appendix2a'** indicates where the amendments have been made indicated in bold and underlined where such alterations were made this quarter. A new risk has been added:

Risk 17 - Free schools - Uncertainty over the delivery and timing of government free schools, together with risks around the impact of Brexit, leaves the city with either insufficient or a surplus of secondary school places.

16 risks were updated comprising of target dates, but **risk controls** were also amended to **risks 1,2,3,4,5,6,9,10,11,12,14,15,16**. Refer to **Appendix 2a** which shows where changes have been made.

Risks ratings have remained constant which is not unexpected due to the nature of strategic risks, and the fact that changes in the external environment which pose risks are being managed and mitigated within the appetite of the organisation.

Almost Certain	5				3	
Probable / Likely	4				1,12	
Possible	3		11	2,5,6,8,9,10,13,14,15,16,17	7	
Unlikely	2				4	
Very unlikely / Rare	1					
		1 Insignificant/ Negligible	2 Minor	3 Moderate	4 Major	5 Critical / Catastrophic

The above matrix provides an indicator of the status of council's strategic risks in terms of likelihood and impact using the risk scoring from the SRR Register. Those risks in the **red quadrant require regular reviewing and monitoring** and consideration for further controls where appropriate. Those in the **yellow also require regular reviewing and monitoring** to ensure they do not escalate to a red risk.

4.2 The risks in the ORR (**Appendix 4**) are presented by:

- Strategic Area (in alphabetical order);
- Then by Divisional Area (again within alphabetical order);
- Then by 'risk score' with the highest first.

4.3 The summary of operational risks attached as **Appendix 3** indicates the number of high risks for each department/strategic area. **Appendix 4** provides comprehensive detail of the risks in **Appendix 3** facing the council. Both appendices have been compiled using divisional risk registers submitted to REBR by each Divisional Director. The significant risks (scoring 15 and above)

identified within these individual registers have been transferred to the Council's ORR.

- 4.4 With regards to the ORR, **21** existing risks have been amended, **38** deleted and **11** new risks added.

Appendix 4a indicates where amendments have been made. Many amendments relate to target dates reflecting the next quarterly review deadline date of 31st October 2018. However, **risk 1, 3, 7, 12, 13, 15, 16, 17, 18, 19, 22 and 25** have further amendments other than target dates.

As a reminder, where a risk is '**deleted**' does not always elude to the risk being eliminated. It refers to the risk score no longer being 'high' and it may well remain within the individual divisional register with a score below 15. For the purpose of this report, there are too many deletions to highlight in this section so refer to **Appendix 4a** for further information. The same applies to the **11** new risks added this quarter.

The ultimate reason for the above change in numbers is that the Manager, Risk Management, REBR has been supported by Zurich Municipal Risk Consultants by facilitating discussions with Divisional Directors and their Heads of Service to review the risks faced by those Divisions. Divisional Risks form the traditional "middle tier" of risk management hierarchy which identifies and manages those risks which affect the wider division and/or need greater support from senior officers. During the process several historically identified divisional risks have been filtered to the Head of Service Risk Registers within the Division to be owned and managed by Heads of Service.

This allows time and effort to be focussed on the risks which require the management of the Divisional Management Team. This can only be successful if the management of the Head of Service Risk Registers remains in place and is regularly reviewed by them in line with reporting structures, (as stated in the Risk Management Policy and Strategy), and some operational risks may require escalating in the future.

Risk management in this way is regarded as best practice. The comment from the Zurich Municipal Risk Consultant is that it has been refreshing to find colleagues at Leicester City Council open to this methodology and willing to accept challenge of historic risk reporting.

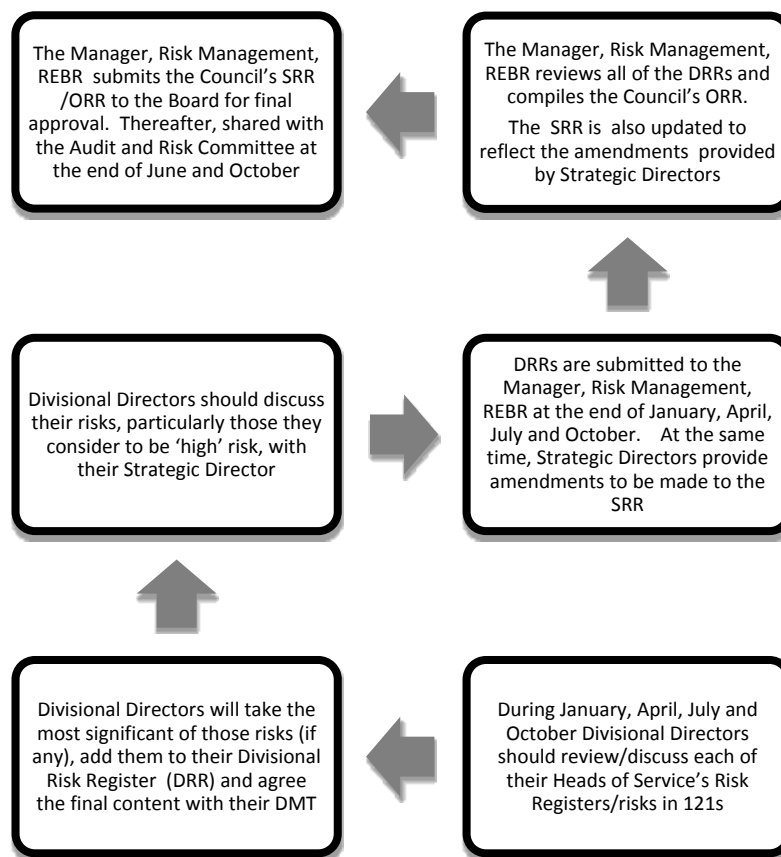
The summary table below provides an overview of the number of high risks ranging from risk rating of **15 to 25** detailed in the **ORR**:

Risk Score	No of risks as at 30.04.2018	No of risks as at 31.07.2018	No of risks as at 31.10.2018
25	1	1	0
20	25	22	6
16	20	20	16
15	14	15	10

- 4.5 Both risk registers present the most significant managed/mitigated risks. Whilst there are other key risks, it is the view of Directors that these are sufficiently

managed/mitigated for them not to appear in these registers. More detailed registers of operational risks are owned and maintained by individual Divisional Directors and their Heads of Service (and where appropriate their managerial and supervisory staff) as detailed in the Risk Management Strategy and Policy.

- 4.6 Audit and Risk Committee are reminded that the Council’s Risk Management Strategy refers to the process of embedding risk management within business areas. The risk registers allow this to be evidenced, but if this process is to be demonstrated as a method by which the Council manages its risk profile, it has to be more than a quarterly exercise of submission of a register to REBR. The number of updates/changes to the risk registers each quarter is a positive indication of this, but the process of risk management must become a daily activity throughout the authority to be truly embedded indicating the Council is managing its risk exposure.
- 4.7 Risk registers need to be working documents that can be sent to REBR for advice or discussed with line management and/or members at any time.
- 4.8 For clarity, the process for reviewing and reporting operational risks, in line with the Council’s Strategy, should be as per the following flowchart:



- 4.9 It is imperative to keep in mind that these risk registers should be seen as the ‘top tier’ within a structured risk process in each Division. It may be necessary to demonstrate that the Council has an embedded process of risk management and that this can be evidenced.
- 4.10 A planned review of the Council’s ORR by REBR is progressing well. This has been supported with commencing blank paper exercises of risk registers at

Divisional level. This work had been completed with Estates and Buildings Services, Children's Social Care, Adult Social Care, Learning Services, Housing, Public Health and ICT. **Legal, Neighbourhood and Environmental Services, Planning & Transport and Tourism, Culture & Investment are to be completed by January 2019.**

This exercise is a '**sense check**' of risks being reported to ensure that descriptors allow the 'uninitiated' to understand alignment is taking across the division, to ensure risks are not over scored and department issues are not mistaken for risks.

4.11 Audit and Risk Committee are reminded that it is crucial to monitor changes in risks over a period. Where the change is gradual and over a longer period of time, it may easily be overlooked even though it may be a significant change. Where risks change suddenly, these are easier to notice.

4.12 **Appendix 5** shows the claims data for **Quarter 2**. There is often a significant time-lag between incidents occurring and a claim being recorded. Claims received in the quarter will often relate to events in previous quarters and, in some cases, earlier years. Therefore, it will take some time for operational risk management improvements to be reflected in reduced claims numbers."

4.13 Health and Safety have provided data, **Appendix 6 - Incidents by Incident Type** - of the main types of incidents reported on the SO2 online database, classed as:

- **Near Miss or Non-Injury Incident:** those which had potential to cause injury but in this instance did not. Many of these are threats and abuse of Council employees.
- **Injury Incident:** An event causing an injury to a person.
- **Work Related Ill Health:** Many of these tend to be work related stress but more rarely hand arm vibration, dermatitis, musculoskeletal problems, etc.
- **Fire:** both minor and major fire incidents reported.

The data over the past two years shows a consistency in reporting throughout the Council. More than half of all incidents reported are near misses so the culture of reporting such incidents has been largely adopted by employees. Whilst the number of injury incidents fluctuates slightly there is no recognisable pattern to that variation although the causes of those incidents are consistent. The number of work related ill health reports are comparatively small and there is suspected under-reporting of stress.

There has been a **5% increase in overall incidents since Q2 2018**. However, compared to the same quarter in 2017 there has been very little change. Incidents of fire have been at their highest in **Q3 18 with 10 of those fires having occurred in Housing**. The increase in fire reports is probably due to an improved recognition that such incidents need to be reported on the database.

4.14 The REBR training programme for 2019, **Appendix 7**, has been issued to all Directors and Heads of Service to circulate as appropriate and is available on the intranet. These sessions help LCC staff and managers understand the importance of adhering to the Risk Management and Business Continuity Strategy and Policy and the implications of that for them. This allows them to understand the fundamentals of risk management and its possible outputs, business continuity and insurance. This is presented for the Committee's information and to provide assurance that a robust training programme is in place, to promote a proper understanding of risk and insurance across the Council.

4.15 Having attended a recent ALARM Risk Management event, the following were also highlighted at risks at other organisations:

4.15.1 **Cyber and Data Protection** – exposure due to data breaches likely impacting the public purse, reputation and liability;

4.15.2 **Ageing Population** – could be linked to various risks such as poverty and Welfare Reform, Budgets/demand, Workforce Planning;

4.15.3 **Brexit/Future EU Funding** – many funding streams are being turned off post Brexit and there is little detail around UK Central Government funding replacements or awarding bodies;

4.15.4 **Financial Transactions** – cashless payments are posing problems where cash offices are closed;

4.15.5 **Climate Change** – adverse weather conditions impacting adverse financial impact due to worsen in years to come.

Directors are informed of these risks to consider as part of their quarterly risk reporting.

5. Financial, Legal Implications

5.1 Financial Implications

'There are no direct financial implications arising from this report'
Colin Sharpe, Head of Finance – 37 4081

5.2 Legal Implications

'There are no direct legal implications arising from this report'
Kamal Adatia, City Barrister – 37 1401

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 Authors

Sonal Devani – Manager, Risk Management, REBR – 37 1635
13th November 2018

Appendix 1

LCC Strategic Risk Exposure Summary as at 31st October 2018

Risk Index	Risk	I	L	Risk Score 31 Oct 2018	Risk Score 31 Jul 2018	Risk Score 30 Apr 2018	Risk Score 31 Jan 2018	Variance	Risk Owner
3.	Cyber Risk	5	5	25	25	25	25	↔	AK / AG
1.	Financial challenges	5	4	20	20	20	20	↔	AK / AG
12.	Asset Management	5	4	20	20	20	20	↔	PC
7.	Safeguarding	5	3	15	15	15	15	↔	SF
2.	Stakeholder Engagement	4	3	12	12	12	12	↔	MC / All Strategic Directors
5.	Information Governance	4	3	12	12	12	12	↔	AK
6.	Compliance with Regulation, Policies, Procedures, Health & Safety etc.	4	3	12	12	12	12	↔	KA / MC
8.	School Improvement	4	3	12	12	12	12	↔	PT
9.	Civil Contingency Response / Incident Response	4	3	12	12	12	12	↔	MC / AG / RT
10.	Resource: Capacity, Capability, Retention & Development	4	3	12	12	12	12	↔	MC
11.	Commissioning, Contract Monitoring, Management & Procurement	3	4	12	9	9	9	↑	KA
13.	National Agenda / Changes in Legislation / Government etc.	4	3	12	12	12	12	↔	AK
14.	Digital Transformation	4	3	12	12	20	20	↔	MC
15.	Brexit Scenarios	4	3	12	12	12	12	↔	AK / AG / MC
16.	Fire Risk in Tall Buildings	4	3	12	12	12	12	↔	PC
17.	Freeschools	4	3	12	New addition as at 31.10.18				PC
4.	Business / Service Continuity Management	5	2	10	10	10	10	↔	MC

Key:

IMPACT (I)	SCORE
CRITICAL/ CATASTROPHIC	5
MAJOR	4
MODERATE	3
MINOR	2
INSIGNIFICANT/ NEGLIGIBLE	1

LIKELIHOOD (L)	SCORE
ALMOST CERTAIN	5
PROBABLE / LIKELY	4
POSSIBLE	3
UNLIKELY	2
VERY UNLIKELY / RARE	1

Risk scores:

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

Risk Owners:

AG	Alison Greenhill
AK	Andy Keeling
KA	Kamal Adatia
MC	Miranda Cannon
PC	Phil Coyne
RT	Ruth Tennant
SF	Steven Forbes

Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Andy Keeling, COO

Date completed: 31/10/18

RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE WITH EXISTING MEASURES			FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE WITH FURTHER ACTIONS/CONTROLS REQUIRED			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk		Impact	Probability	Risk			
<p>1. FINANCIAL CHALLENGES The Council fails to respond adequately to the cuts in public sector funding over the coming year or years.</p>	<p>- Council is placed in severe financial crisis. Reputational damage to the Council and substantial crisis job losses. If the process is not properly managed, the Council will have little money for anything but statutory 'demand led services'</p>	<p>- Budget balanced in 18/19. Spending review 4 programme underway and previous spending reviews largely complete. - Further work required to balance the medium term, particularly driving the spending review programme - £6m service transformation fund</p>	5	4	20	<p>- Heavy involvement of City Mayor and COO in ensuring spending review programme delivers. - Appropriate change management/project management arrangements to be put in place for major review areas. - Delivery of spending review 4</p>	5	2	10		<p>Andy Keeling Alison Greenhill</p>	31/03/2019/2020 and On-going
<p>2. STAKEHOLDER ENGAGEMENT The Council fails to maintain effective relationships with stakeholders (partners, neighbouring Councils, NHS etc.). Key partners and stakeholders fail to support the council in delivery of its strategy as a result of tensions and strained relationships due to financial and other pressures. Council fails to identify tensions arising in the city (particularly as the financial challenges impact on communities) leading to unrest in specific communities/areas of the city.</p>	<p>- Failure of local agreements and stakeholder arrangements to deliver agreed levels of performance, the impacts of which may reflect negatively on the Council adversely affecting its reputation. - Potential litigation where it impacts on formal contractual relationships. - Financial risk if Integration Transformation Fund plans are inadequate or not agreed. - 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/City from the perspective of stakeholders. - Partnership working fails to take into account the needs of all communities.</p>	<p>- Mechanisms in place for regular dialogue including formal partnerships e.g. Health and Wellbeing Board. - City Mayor Faith and Community Forum in place to engage specifically with faith and non-faith communities. - Arrangements for engagement of, and support to, the Voluntary Community Sector (VCS) have been commissioned and contracts are in place. - Specific Executive Members have clear objectives around partnership working in their portfolios, for example working with the voluntary and community sector is reflected in the portfolios for the Assistant City Mayors for Communities and Equalities, and for the Voluntary and Community Sector. - Close involvement of City Mayor and Members in key partnerships.</p>	4	3	12	<p>- Regular review and evaluation of the current position by Strategic Management Board. - Review of existing arrangements and contract for VCS engagement and support will be part of spending review 4 - Key aspects of partnership working being reviewed and updated in the light of Ofsted findings e.g. LSCB - City Mayor Faith and Community Forum to evaluate current work of the Forum at Oct 2018 meeting</p>	4	2	8		<p>Miranda Cannon / All Strategic Directors</p>	31/01/19 and ongoing

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2. STAKEHOLDER ENGAGEMENT (Continued) If stakeholder engagement is not robust and effective but is critical to the delivery of the Council's priorities, statutory duties etc., these may not be delivered. An example of such is the need to have a continuing, productive partnership relationship with Clinical Commissioning Group which is particularly important in light of the importance for Adult Social Care of the Better Care Together Fund.	- 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. - Places a strain on resources and services to manage. - Partners are present round the table but are not collectively owning the agenda or taking on board the responsibilities and actions that arise therefore undermining the approach - Public health and wellbeing may be impacted or the quality of the service delivered to the Public is insufficient, which could cause harm.	- The Council/ Police have a Community Gold meeting which meets approx. once a month and includes Local Policing Unit commanders, the Basic Command Unit commander and council officers from Leicester Anti-Social Behaviour Unit, youth services, community services. This tracks and agrees joint actions to address any known tensions in communities. This is supported by a shared system between front line officers from the police and the council to track community tension. Community joint management group now in place which creates a regular conduit for engagement with community leaders. - LLEP Review has been finalised which has strengthened governance and management of the Leicester, Leicestershire Enterprise Partnership and links with Further Education/Higher Education/ VCS and business sectors.										
3. CYBER RISK - Loss or compromise of IT systems and/or associated data through cyber security attacks	- Potential financial or reputational damage to Council. - Potential Data Protection breaches. - Fines - Service delivery affected	- Ensure close monitoring of existing perimeter and internal security protection. - Continue working on staff awareness and training	5	5	25	- Currently out to market for a Security and Incident Event Management service. - IT Security Manager appointed and will be in post August 2018.	4	3	12		Andy Keeling / Alison Greenhill	31/01/19 and ongoing

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<p>4. BUSINESS/SERVICE CONTINUITY MANAGEMENT</p> <p>Unforeseen unpredictable events such as flood, power/utility failure etc. could impact on the council's assets, communication channels or resources etc.</p> <p style="font-size: 2em; font-weight: bold; margin-top: 20px;">43</p>	<ul style="list-style-type: none"> - Insufficiently prepared management leads to disorder in the rapid restoration of business critical activities and the control of the emergency plan. - The wider risk environment increasingly makes 'resilience' a significant focus for all organisations. - Budget cuts and rationalisation may also challenge the ability of Category 1 responders (which LCC are) to fulfil their statutory duty. - Resource restraints means that there is limited staff to perform manual operations at the volume required in an event/incident. - Council is unable to communicate to stakeholders/deliver its services. - Reputational Damage - Vulnerable service users in danger as such users face loss of service. - Financial Impact - Impact on resources 	<ul style="list-style-type: none"> - All the Senior Management Team have roles in either the Corporate Business Continuity Management Team (CBCT) or are Emergency Controllers. - The Manager, Risk Management chairs the Multi-Agency Business Continuity Group. - All Business Critical Activities for the council are identified and named in the Corporate Business Continuity Plan (CBCP) - Critical Services BCPs are reviewed thoroughly and updated annually or as and when changes occur in service areas. These are then submitted to REBR who cast a critical eye on all these plans. - BCP Strategy and Policy tailored for the council in place to meet organisational needs. - Training offered corporately - Risk Management/Insurance Services/REBR Team provide updates and lessons learnt on incidents to CBCT/Audit & Risk Committee as appropriate - Self cert annually by Directors to confirm BCPs in place for all service areas - CBCP which is reviewed annually but also updated as and when changes occur - Desktop review of the Corporate Plan by insurers confirmed it is a well written plan - Resilience Direct Secure Site (web based) holds CBCP and all Business Critical Activities BCPs (alongside emergency planning documentation) and is securely accessed by the CBCT - Communications on-call arrangements working more effectively and training run for all staff involved including LRF training/meet each on call officer individually for an annual half hour briefing - Review recently completed which has amalgamated emergency planning, risk management and business continuity to deliver one integrated function which in itself should be more resilient as a result - Assisting maintained schools on BC planning 	5	2	10	<ul style="list-style-type: none"> - Further embedding of business continuity management approach. - Further completion of Business Continuity tests. - Further communication/training and awareness for staff on continuity arrangements. Contingency planning training continues to be delivered to levels of management below the Corporate BCP and all staff. - Post review continue the work on closer integration of Business Continuity with Emergency Planning - Working towards an analytical approach in reviewing the number of Business Critical Activities and to reduce them to ensure recovery from an incident is more efficient and effective 	4	2	8		Miranda Cannon	31/01/19 and ongoing

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<p>5. INFORMATION GOVERNANCE Information Governance/Security/ Data Protection policies/procedures/ protocols are not followed by staff and members.</p> <p style="font-size: 2em; font-weight: bold; text-align: center;">44</p>	<ul style="list-style-type: none"> - 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. - Reduction in the capacity/capability to retain such data. This could also be costly. - Excessive retention of data can still be requested through a Freedom of Information Act if retained. - Council may not share data with the appropriate individuals/bodies accurately, securely and in a timely manner. - Council fails to adequately secure/protect confidential and sensitive data held. - Possibility of not being compliant with new data protection legislation (GDPR, Data Protection Act 2018) 	<ul style="list-style-type: none"> - Clear policies and protocols in place. - Staff have been trained and made aware of the Council's policies and procedures. - Secure storage solutions are now in place. - Paper retention has been reduced through the introduction of scanning etc. - Mandatory e-learning module for staff - Monthly reporting of incidents to Directors in place - GDPR action plan implemented and regularly reviewed 	4	3	12	<ul style="list-style-type: none"> - Clear and on-going 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. - Ensure that the policy in place around the management of electronic data and disposal of data is in the awareness of staff - Ongoing review and updating of appropriate information sharing agreements. - Information asset registers, Privacy Notices, policies & procedures and contract clauses reviewed in light of GDPR - GDPR training available across the Council - Data Protection Officer appointed 	4	2	8		Andy Keeling	31/01/19 and ongoing

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<p>6. COMPLIANCE WITH REGULATION, POLICIES, PROCEDURES HEALTH AND SAFETY ETC</p> <p>Local management use discretion to apply inconsistent processes and misinterpret Corporate policies & procedures, perpetuating varying standards across business units.</p> <p>The City Council fails to respond effectively to the requirements of Health and Safety Executive/Government proposals and/or legislation which places health and safety responsibilities on local authorities.</p>	<ul style="list-style-type: none"> - Places the organisation at risk e.g. fraud, data loss etc. Potential financial losses / inefficient use of resources. - 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. - Negative stakeholder relationships - Potential for increase in the number of insurance claims 	<ul style="list-style-type: none"> - Regular reporting from Internal Audit to Strategic Management Board. - Approach to the annual corporate governance review revised and a more effective process established. - 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 Divisional Directors Operational Risk Registers (presented to the CMT each quarter) and these are underpinned by registers at Heads of Service level reviewed and discussed at Divisional Management Teams quarterly. - Regular inspections and reports by the Health and Safety team with all actions being followed up within a reasonable time. Close involvement of Trade Unions in monitoring and reviewing Health and Safety. - A process of more regular reporting to Corporate Management Team on health and safety matters has been established via the quarterly risk management reports - Work is well advanced on reviewing absence management with agreed actions being focused on to seek to address this particularly in terms of stress and musculo-skeletal absence which are the top causes. In addition CMT approved a new employee Health and Wellbeing framework and action plan which will further support the work to reduce absence and deal with key issues such as work-related stress. New Mental Health training has been piloted and is due to be rolled out. - New corporate equality strategy and action plan approved by Council which will support the Council in ensuring it meets the requirements of the Equalities Act 2010 and the Public Sector Equality Duty. - Draft process to be finalised and rolled out in relation to officer decisions to ensure compliance with the relevant legislation. 	4	3	12	<ul style="list-style-type: none"> - Continue to review and reinforce key standards and policies via regular communication. - Ensure Managers are appropriately trained and requirements are clearly set out in Job Descriptions and reinforced via appraisals. - Ensure Internal Audit findings are acted on in a timely manner. - Continue to refine and improve strategic monitoring and reporting in relation to Health & Safety to ensure responsibilities are reinforced from the top. 	4	2	8		Kamal Adatia / Miranda Cannon	31/01/19 and ongoing

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46												
7. SAFEGUARDING Weak Management oversight of safeguarding processes in place leads to the Council failing to adequately safeguard vulnerable groups e.g. children and young people, elderly, those with physical and learning disabilities.	- 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 - Leads to high turnover of social workers and managers.	- Safeguarding Adults and Children's Boards in place. - Regular reviews of policies/procedures and close supervision of staff. - Range of quality assurance processes exist within the Divisions. - Range of developments, including corporate training, exist within the Divisions to manage, support recruit and retain staff. - Improvement Board established following the Ofsted inspection and other arrangements e.g. Performance Board set up - 24/7 Duty and Advice Service in place - Single assessment team in place which has resulted in a reduced caseload and more timely intervention	5	3	15	- Board performance and framework development. - Chair of Board has direct accountability through Chief Operating Officer. - Regular bi-annual meetings with Mayor and Adults and Children's Lead Members. - Full implementation of all necessary improvements identified via the Ofsted inspection of Children's Services - overseen by Improvement Board and independency Chair - Performance framework in place across Children's - positive progress highlighted in recent Ofsted reports - Version 11 of Liquid Logic implemented successfully	5	2	10		Steven Forbes	31/01/19 and ongoing
8. SCHOOL IMPROVEMENT	- Poor OFSTED outcome for schools - Increased risk of schools going into category of special measures - Poor outcome for Local Authority if inspected under the OFSTED framework for LA School Improvement effectiveness	- Revised desk top analysis to identify potential underperformance in individual schools and settings - Revised School Improvement Framework - Regular reporting to DMT and LMB on schools causing concern and targeted work - Self evaluation against OFSTED framework for inspection completed - At risk schools discussed and warning notices considered - Inspection file being collated to evidence effective and good practice in targeted work with schools	4	3	12	- Targeted visits by Director of Learning - Revised support packages - Single plan implementation for RI schools - Local Authority Reviews of individual schools to be negotiated - Preparation for inspection to include briefing to all schools	4	2	8		Paul Tinsley	31/01/19 and ongoing

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9. CIVIL CONTINGENCY RESPONSE/INCIDENT RESPONSE Council resources may not be adequate or sufficient to respond should an external incident/disaster occur (for example, the impact of climate change leading to floods placing responsibility to the Council to house evacuees from other counties/areas) .	- An increase in inclement weather (flood, heat, waves, drought, windstorm, increased snow fall etc.) building the right infrastructure and new statutory flood and water risk management duties. - Having sufficient financial resources and flexibility to address these challenges becomes increasingly difficult. - Having sufficient assets/contingency arrangements. - Lack of resources could lead to inadequate response . - Impact on the public's health and wellbeing, safety/housing needs etc. - Adverse impact on budget - Reputational impact - Death/injury - Potential for increase in the number of insurance claims - Negative relationships with stakeholders - Fail to meet statutory requirements - City Council fails to respond effectively to the requirements of Government proposals and/or legislation	- Corporate Management of this is outlined in the Leicester Sustainable Action Plan action plan which covers all areas of management activity across the Council and its partners to reduce carbon. - Day to day management of climate change responsibility rests with the Operational Directors and their Heads of Service. - Risk is reported and controlled through the Divisional Directors Operational Risk Registers (presented to Corporate Management Team each quarter) and these are underpinned through regular reviews as part of the revised Eco-Management Audit Scheme (EMAS) system. - Local Resilience Forum (LRF) county wide partnering arrangement. - Leicester City Council (LCC) is part of the Resilience Partnership of local authorities in LLR. LLR Health Protection Committee coordinates health protection response across LA/PHE/NHS - LRF multi-agency flooding TCG exercise held at City Hall to test facilities here. Lessons learnt/debrief held. - City Council major incident plan reviewed and signed off. - Emergency control room fully equipped and operational at City Hall and provides a facility for both local management of emergencies and use by the LRF as a SCG venue. Tested on a number of large scale events e.g. LCFC victory parade and KR3 reinternment and specifically for LRF multi-agency TCG flooding exercise. - New logging system implemented to support major incident response and event management	4	3	12	- Public engagement and city wide flood defence programmes are being developed jointly with the Environment Agency. This provides a two-pronged approach to manage the risk of severe flooding arising from climate change. - LRF and Resilience Partnership arrangements continue to be reviewed. - Robust schedule of plan reviews and training in place and agreed via the LRF - LLR-wide Health Protection Committee arrangements under review to provide assurance around management of health protection risks/ incidents and outbreaks - Continue to undertake full debriefs from any incidents and ensure lessons learnt and recommendations are acted upon. Council debrief for Hinckley Road major incident has been completed and fed into an LRF formal debrief which is being finalised.	4	2	8		Miranda Cannon / Alison Greenhill	31/01/19 and ongoing

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<p>10. RESOURCE: CAPACITY, CAPABILITY, RETENTION & DEVELOPMENT</p> <p>Lack of workforce planning and appropriate development of managers and employees leaves the Council exposed to service failure.</p> <p>The Council does not have the capacity/resilience in resources, should an event/incident occur, may significantly increase the demand on front line services. Changing market conditions gives rise to the council not being seen as first choice for employment as private sector may be perceived as offering better reward.</p>	<ul style="list-style-type: none"> - 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/are under pressure which has an impact 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 - Service demands may not be met. - Reputational damage. - Financial impacts. - Drain on resources - Potential reduction in controls being exercised and as a result, the business control environment is reduced. - Potential exposure for fraud/irregularity. - Impact on the Health and Wellbeing of the City. - Council loses knowledge, experience and skills - Posts not filled with the right skills set/qualification/experience - changing market conditions may result in the Council being unable to recruit to specific posts or attract candidates of the right skill mix 	<ul style="list-style-type: none"> - Organisational Development Team (OD) working to develop their role and remit and engagement with the organisation - Organisational vision and values continued roll out - Active programme of work to support young people into employment and to utilise graduates, apprenticeships, work placements etc across the Council and to maximise the use of the apprenticeship levy. Significant numbers of graduates and apprenticeships in place within the Council - Digital Transformation programme includes a focus on developing the digital skills and competencies within the workforce. 	4	3	12	<ul style="list-style-type: none"> An approach to workforce planning has been piloted and dashboards developed to support divisions. This is to be reported back to CMT and used to inform further what OD interventions and L&D activity and support is needed as part of the work of the OD Team - Continue the embedding of the vision and values across the organisation - Enabling our best work project on performance management has developed a framework for employee performance management and proposed leadership competencies to underpin management and leadership development. These -are now being prepared for wider roll out and application - Continue to identify opportunities to use apprenticeship schemes in targeted areas e.g. recent launch of new apprenticeship scheme in adult social care in partnership with Warwick University 	3	3	9		Miranda Cannon / Craig Picknell	31/01/19 and ongoing

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11. COMMISSIONING, CONTRACT MONITORING, MANAGEMENT & PROCUREMENT Lack of robustness in contract management & monitoring protocols/procedures/controls and limited awareness/understanding of contractual risks by staff within the Council, particularly by those procuring for goods/services.	- Reputational damage. - Financial impacts; valuable funding is used for rectification of issues. - Increase in staff resources to defend a challenge. - Potential for litigation and fines being incurred. - Contract service level agreements may not be adhered to. - The Council does not receive value for money for the services it procures. - The Council is challenged in the reduction of contracts when re-tendered. - Discouraged providers may not tender for the contract in the future, potentially reducing the portfolio of providers and even reducing the availability of high quality providers. - Council pay higher fees for services contracted or are unable to exit contracts when service delivery is not inline with the expected quality/contractual requirements. - The Council may not procure goods and services from sustainable providers. - Partnership arrangements/collaborative agreements where formalised legally binding	- Revised and improved Contract Procedure Rules in place along with associated guidance. - Policy that all procurement over a de minimis threshold must be carried out by one of the specialist procurement teams. - Professional procurement staff recruited and in post - Contract Risk Management training available from RMIS - Engagement with local supplier groups - Professional training for procurement staff (MCIPS) - Electronic tendering system in use - Procurement template documentation in use - Service Analysis Team to use work to date to inform major piece of work around commissioning and contract management	3	4	12	- Training in procurement and contract management for staff across the Council - Enhanced engagement with local business to widen portfolio of potential suppliers - Development of communications plan to ensure all staff are informed of above as appropriate to their role.	3	3	9		Kamal Adatia	31/03/19 and ongoing

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50	<p>11. CONTRACT MANAGEMENT & PROCUREMENT (Continued).</p> <ul style="list-style-type: none"> - Council pay higher fees for services contracted or are unable to exit contracts when service delivery is not inline with the expected quality/contractual requirements. - The Council may not procure goods and services from sustainable providers. - Partnership arrangements/collaborative agreements where formalised legally binding contracts are not in place. - Lack of consistency in LCC standard contract/agreement clauses leaves LCC open to liability risks - Not being clear in LCC specifications and requirements restricts the ability to effectively work with or manage the provider - Agreements instantly limit the ability to get specific measurable outcomes LCC might want and the City needs - Different processes/procedures/governance/expectations on delivery within the same areas of expertise i.e. procurement or commissioning Duplicate and waste time in preparation on contracts Contracts/agreements exist with no stability/not robust/lack of control across the council 											
<p>12. ASSET MANAGEMENT</p> <p>That in advance of the imminent completion and adoption of the Council's strategic and corporate asset management plan that the condition of certain properties will deteriorate.</p>	<p>The council's assets may fall into disrepair losing income and increasing maintenance costs. .</p> <p>Inability to optimise performance of the port folio.</p>	<p>-Final Asset Management Plan - including lifecycle planning for schools will be embedded during mid 2018. UBB Programme now mainstreamed into EBS business as usual activity</p> <p>-A single corporate asset management system is now in place.</p> <p>- Central Maintenance Fund is available to address urgent repair items and Health</p>	5	4	20	<p>- Continued development of effective planned maintenance programme across the estate- performance measurement in place to provide assurance regarding compliance-concerto being established and populated to work as the single corporate asset management system</p> <p>- Continue delivery of the UBB programme including disposal of assets</p> <p>-Creation of corporate property to group for a single part of management , review and escalation.</p>	5	3	15		Phil Coyne/Matt Wallace	31/01/19 and ongoing

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<p>13. NATIONAL AGENDA/CHANGES IN LEGISLATION/ GOVERNMENT ETC On-going changes in government, legislation etc. gives rise to new demands and responsibilities with insufficient time for implementation and insufficient budget.</p> <p style="font-size: 2em; font-weight: bold;">51</p>	<ul style="list-style-type: none"> - Loss of income. - Services may not be delivered. - Reputational damage. - The budget may not be sufficient to deliver the expected service demand. - Statutory services, such as public health may be reduced and or the Council is unable to protect and safeguard the public, vulnerable individuals etc. - Implementation of unpopular fees for services required by the Public of the Council. - The health and wellbeing of the City may be impacted. - Causing service failure or significant cost over runs. 	<ul style="list-style-type: none"> - Directors keep abreast of policy change and development in their portfolios. - The implications of change described and discussed - including political briefings if required. - Budgeting takes account of national changes. - Staff are trained in new requirements. 	4	3	12	<ul style="list-style-type: none"> - Examine options for service integration; improved leadership development; manage demand better; have honest conversations with the public about what can be expected from us - Improve commissioning activity across the Council. 	3	2	6		Andy Keeling	31/01/19 and ongoing
<p>14. DIGITAL TRANSFORMATION The council may not be able to maximise the use of technology and data to work smarter and more efficiently, reduce costs and deliver customer friendly services. Integration of data, workflows and systems may not be delivered as required</p>	<ul style="list-style-type: none"> - LCC is not able to meet the savings targets - Service delivery may not be met or may be compromised - Demand management may become problematic as increased population and draw on services. - Service costs may increase as more demand is placed on expensive channels - Demand and service costs are increased by if the end to end transformation of both the service area and the IT/data is not delivered as creating a digital presence only increases the process, rather than streamlining - Reputational damage to the council as demand pressures increase - Customer experience is poor, leading to complaints and an increased demand as customers are accessing the services multiple times for the same transaction 	<ul style="list-style-type: none"> - Scope, vision, objectives and design principles for the digital transformation programme have been agreed. - Digital Transformation Programme Manager now in post. - Digital Transformation Board established and a digital transformation gateway process to manage projects is agreed and in place supported by a weekly Digital Transformation conference call led by senior officers. - Resources for the programme are being secured and relevant areas of the programme are being taken forward using existing core resources in areas such as Organisational Development and Equalities. - Key transformation projects have been agreed and are being undertaken within the workstreams around ICT rationalisation, channel transformation and service based digital transformation. Work underway on identifying and baselining metrics to measure the progress and impact of the programme overall. - New Open Data platform has gone live with transparency data and work underway to look at future development of the platform. - Council has signed up to the DHCLG digital declaration and is engaged with the new national Digital Collaboration Unit to support the programme. Expressions of interest have been submitted for the national Digital fund. 	4	3	12	<ul style="list-style-type: none"> - Complete the capture of the detailed baseline to inform the programme development and metrics to measure progress across the different aspects of digital transformation - Upskill and embed programme resources to ensure a customer centric approach to design so that digital transformation ensures a customer friendly approach with clear customer experience - Ensure clear communications relating to the programme. 	3	3	9		Miranda Cannon	31/01/19 and ongoing

Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Andy Keeling, COO

Date completed: 31/10/18

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15. BREXIT SCENARIOS - There may be significant implications relating to requirements for further public sector cuts, reductions in other funding streams particularly for infrastructure projects, as well as longer-term legislative changes in areas such as procurement. Also creating a level of instability and uncertainty in financial markets and in relation to staffing either directly or indirectly (via supply chains)	- Further budget reductions. Impacts on major infrastructure schemes and vision around future city development. - Implications in terms of treasury management. - Need in future to revisit key policies and procedures	- Monitor situation closely. - Joint work underway with LRF to assess risks and identify where plans needed - Work underway on an LCC risk assessment relating to potential Brexit impacts	4	3	12	-Complete risk assessments with LRF and internally and monitor. Consider implications alongside future budget strategy	3	3	9		Andy Keeling / Alison Greenhill / Miranda Cannon	31/01/19 and ongoing
16. FIRE RISK IN TALL BUILDINGS As a result of the failure of cladding materials and fire safety measures the fire service issues a prohibition notice leading to the evacuation of a high rise residential building .	- The Council is faced with the potential rehousing of occupiers at short notice and for a potentially indeterminate period of time.	- The Council is contributing to an ongoing exercise (led by LFRS) whereby high rise buildings are assessed for a) cladding b) whether that cladding is ACM and c) through the fire service, whether the building satisfies fire safety regulations. - All LCC owned tall buildings have been reviewed in conjunction with LFRS and any mitigating actions identified completed - Maxfield House is a s part of a planned improvement programme having work undertaken, this is currently empty and work ongoing - Decision taken to demolish LCC owned Goscote House taken. - No further occupation and current tenancies reducing to mitigate risk (from 134 now down to 42 tenants - 24 of these to be rehoused to Maxfield House)	4	3	12	- The fire service will provide the Council with an early indication of any buildings where a prohibition notice is likely to be issued in order that options for temporary accommodation can be considered in advance of any potential displacement. The Council and the Fire Service jointly will continue to review high rise and other buildings in the context of emerging government guidance - Demolition of Goscote House due during 2019. - Decision taken to fit sprinklers to all LCC owned tall buildings, Maxfield House is being fitted in 2018 during improvement works. All other LCC owned Tower blocks to have sprinklers retro fitted from 2019 onwards	2	3	6		Phil Coyne	31/01/19 and ongoing

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17. Freeschools - Uncertainty over the delivery and timing of government free schools, together with risks around the impact of Brexit, leaves the city with either insufficient or a surplus of secondary school places.	Surplus space developed which prejudices particular schools resulting in closures or that of the freeschool programme stalls and we find a lack of places, with subsequent impact on our legal duty, the education of children and the reputation of the Council. This would carry financial impact in terms of either emergency mitigation measures required.	Working with the government freeschools team to ensure that any assistance the Council can provide in delivery of schools is managed efficiently. Working with secondary schools around the city to facilitate temporary provision of space to accommodate larger classes. In order to reach a point of certainty in the provision of space we are working both internally and with assistance from independent experts to review our place planning forecasts and develop phased provision of new space. This work is being managed by an internal Schools Estates Governance Board and is reporting regularly.	4	3	12	Being received frequently but sufficient control measures currently in place. Should additional resource be required this will be put in place.					Phil Coyne	31/01/19 and ongoing

Appendix 2a - LCC Strategic Risk Register

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<p>1. FINANCIAL CHALLENGES The Council fails to respond adequately to the cuts in public sector funding over the coming year or years.</p>	<p>- Council is placed in severe financial crisis. Reputational damage to the Council and substantial crisis job losses. If the process is not properly managed, the Council will have little money for anything but statutory 'demand led services'</p>	<p>- Budget balanced in 18/19. Spending review 4 programme underway and previous spending reviews largely complete. - Further work required to balance the medium term, particularly driving the spending review programme - £6m service transformation fund</p>	5	4	20	<p>- Heavy involvement of City Mayor and COO in ensuring spending review programme delivers. - Appropriate change management/ project management arrangements to be put in place for major review areas. - - Delivery of spending review 4</p>	5	2	10		<p>Andy Keeling Alison Greenhill</p>	<p>31/03/2019/ 2020 and On-going</p>
<p>2. STAKEHOLDER ENGAGEMENT The Council fails to maintain effective relationships with stakeholders (partners, neighbouring Councils, NHS etc.). Key partners and stakeholders fail to support the council in delivery of its strategy as a result of tensions and strained relationships due to financial and other pressures. Council fails to identify tensions arising in the city (particularly as the financial challenges impact on communities) leading to unrest in specific communities/areas of the city.</p>	<p>- Failure of local agreements and stakeholder arrangements to deliver agreed levels of performance, the impacts of which may reflect negatively on the Council adversely affecting its reputation. - Potential litigation where it impacts on formal contractual relationships. - Financial risk if Integration Transformation Fund plans are inadequate or not agreed. - 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/City from the perspective of stakeholders. - Partnership working fails to take into account the needs of all communities.</p>	<p>- Mechanisms in place for regular dialogue including formal partnerships e.g. Health and Wellbeing Board. - City Mayor Faith and Community Forum in place to engage specifically with faith and non-faith communities. - Arrangements for engagement of, and support to, the Voluntary Community Sector (VCS) have been commissioned and contracts are in place. - Specific Executive Members have clear objectives around partnership working in their portfolios, for example working with the voluntary and community sector is reflected in the portfolios for the Assistant City Mayors for Communities and Equalities, and for the Voluntary and Community Sector. - Close involvement of City Mayor and Members in key partnerships.</p>	4	3	12	<p>- Regular review and evaluation of the current position by Strategic Management Board. - Review of existing arrangements and contract for VCS engagement and support will be part of spending review 4 - Key aspects of partnership working being reviewed and updated in the light of Ofsted findings e.g. LSCB - City Mayor Faith and Community Forum to evaluate current work of the Forum at Oct 2018 meeting</p>	4	2	8		<p>Miranda Cannon / All Strategic Directors</p>	<p>31/10/18 and ongoing 31/01/19 and ongoing</p>

Appendix 2a - LCC Strategic Risk Register

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<p>2. STAKEHOLDER ENGAGEMENT (Continued) If stakeholder engagement is not robust and effective but is critical to the delivery of the Council's priorities, statutory duties etc., these may not be delivered. An example of such is the need to have a continuing, productive partnership relationship with Clinical Commissioning Group which is particularly important in light of the importance for Adult Social Care of the Better Care Together Fund.</p>	<ul style="list-style-type: none"> - 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. - Places a strain on resources and services to manage. - Partners are present round the table but are not collectively owning the agenda or taking on board the responsibilities and actions that arise therefore undermining the approach - Public health and wellbeing may be impacted or the quality of the service delivered to the Public is insufficient, which could cause harm. 	<ul style="list-style-type: none"> - The Council/ Police have a Community Gold meeting which meets approx. once a month and includes Local Policing Unit commanders, the Basic Command Unit commander and council officers from Leicester Anti-Social Behaviour Unit, youth services, community services. This tracks and agrees joint actions to address any known tensions in communities. This is supported by a shared system between front line officers from the police and the council to track community tension. Community joint management group now in place which creates a regular conduit for engagement with community leaders. - LLEP Review has been finalised which has strengthened governance and management of the Leicester, Leicestershire Enterprise Partnership and links with Further Education/Higher Education/ VCS and business sectors. 										<p>31/10/18 and ongoing 31/01/19 and ongoing</p>
<p>3. CYBER RISK - Loss or compromise of IT systems and/or associated data through cyber security attacks</p>	<ul style="list-style-type: none"> - Potential financial or reputational damage to Council. - Potential Data Protection breaches. - Fines - Service delivery affected 	<ul style="list-style-type: none"> - Ensure close monitoring of existing perimeter and internal security protection. - Continue working on staff awareness and training 	5	5	25	<ul style="list-style-type: none"> - Currently out to market for a Security and Incident Event Management service. - IT Security Manager appointed and will be in post August 2016. 2018 	4	3	12		<p>Andy Keeling / Alison Greenhill</p>	<p>31/10/18 and ongoing 31/01/19 and ongoing</p>

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<p>4. BUSINESS/SERVICE CONTINUITY MANAGEMENT Unforeseen unpredictable events such as flood, power/utility failure etc. could impact on the council's assets, communication channels or resources etc.</p> <p style="font-size: 2em; margin-top: 20px;">57</p>	<ul style="list-style-type: none"> - Insufficiently prepared management leads to disorder in the rapid restoration of business critical activities and the control of the emergency plan. - The wider risk environment increasingly makes 'resilience' a significant focus for all organisations. - Budget cuts and rationalisation may also challenge the ability of Category 1 responders (which LCC are) to fulfil their statutory duty. - Resource restraints means that there is limited staff to perform manual operations at the volume required in an event/incident. - Council is unable to communicate to stakeholders/deliver its services. - Reputational Damage - Vulnerable service users in danger as such users face loss of service. - Financial Impact - Impact on resources 	<ul style="list-style-type: none"> - All the Senior Management Team have roles in either the Corporate Business Continuity Management Team (CBCT) or are Emergency Controllers. - The Manager, Risk Management chairs the Multi-Agency Business Continuity Group. - All Business Critical Activities for the council are identified and named in the Corporate Business Continuity Plan (CBCP) - Critical Services BCPs are reviewed thoroughly and updated annually or as and when changes occur in service areas. These are then submitted to REBR Risk Management Services who cast a critical eye on all these plans. - BCP Strategy and Policy tailored for the council in place to meet organisational needs. - Training offered corporately - Risk Management and Insurance Services/REBR Team provide updates and lessons learnt on incidents to CBCT/Audit & Risk Committee as appropriate - Self cert annually by Directors to confirm BCPs in place for all service areas - CBCP which is reviewed annually but also updated as and when changes occur - Desktop review of the Corporate Plan by insurers confirmed it is a well written plan - Resilience Direct Secure Site (web based) holds CBCP and all Business Critical Activities BCPs (alongside emergency planning documentation) and is securely accessed by the CBCT - Communications on-call arrangements working more effectively and training run for all staff involved including LRF training/meet each on call officer individually for an annual half hour briefing - Review recently completed which has amalgamated emergency planning, risk management and business continuity to deliver one integrated function which in itself should be more resilient as a result 	5	2	10	<ul style="list-style-type: none"> - Further embedding of business continuity management approach. - Further completion of Business Continuity tests. - Further communication/training and awareness for staff on continuity arrangements. - Contingency planning training continues to be delivered to levels of management below the Corporate BCP and all staff. - Post review continue the work on closer integration of Business Continuity with Emergency Planning - Working towards an analytical approach in reviewing the number of Business Critical Activities and to reduce them to ensure recovery from an incident is more efficient and effective 	4	2	8		Miranda Cannon	31/10/18 and ongoing 31/01/19 and ongoing

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<p>5. INFORMATION GOVERNANCE Information Governance/Security/ Data Protection policies/procedures/ protocols are not followed by staff and members.</p>	<ul style="list-style-type: none"> - 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. - Reduction in the capacity/capability to retain such data. This could also be costly. - Excessive retention of data can still be requested through a Freedom of Information Act if retained. - Council may not share data with the appropriate individuals/bodies accurately, securely and in a timely manner. - Council fails to adequately secure/protect confidential and sensitive data held. - Possibility of not being compliant with new data protection legislation (GDPR, Data Protection Act 2018) 	<ul style="list-style-type: none"> - Clear policies and protocols in place. - Staff have been trained and made aware of the Council's policies and procedures. - Secure storage solutions are now in place. - Paper retention has been reduced through the introduction of scanning etc. - Mandatory e-learning module for staff - Monthly reporting of incidents to Directors in place recently implemented - GDPR action plan implemented and regularly reviewed 	4	3	12	<ul style="list-style-type: none"> - Clear and on-going 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. - Ensure that the policy in place around the management of electronic data and disposal of data is in the awareness of staff - Ongoing review and updating of appropriate information sharing agreements. - Information asset registers, Privacy Notices, policies & procedures and contract clauses reviewed in light of GDPR - GDPR training available across the Council - Data Protection Officer appointed 	4	2	8		Andy Keeling	31/10/18 and ongoing 31/01/19 and ongoing

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<p>6. COMPLIANCE WITH REGULATION, POLICIES, PROCEDURES HEALTH AND SAFETY ETC</p> <p>Local management use discretion to apply inconsistent processes and misinterpret Corporate policies & procedures, perpetuating varying standards across business units.</p> <p>The City Council fails to respond effectively to the requirements of Health and Safety Executive/Government proposals and/or legislation which places health and safety responsibilities on local authorities.</p>	<ul style="list-style-type: none"> - Places the organisation at risk e.g. fraud, data loss etc. Potential financial losses / inefficient use of resources. - 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. - Negative stakeholder relationships - Potential for increase in the number of insurance claims 	<ul style="list-style-type: none"> - Regular reporting from Internal Audit to Strategic Management Board. - Approach to the annual corporate governance review revised and a more effective process established. - 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 Divisional Directors Operational Risk Registers (presented to the CMT each quarter) and these are underpinned by registers at Heads of Service level reviewed and discussed at Divisional Management Teams quarterly. - Regular inspections and reports by the Health and Safety team with all actions being followed up within a reasonable time. Close involvement of Trade Unions in monitoring and reviewing Health and Safety. - A process of more regular reporting to Corporate Management Team on health and safety matters has been established via the quarterly risk management reports - New Head of HR appointed: Work is well advanced on reviewing absence management with agreed actions being focused on to seek to address this particularly in terms of stress and musculo-skeletal absence which are the top causes. In addition CMT recently approved a new employee Health and Wellbeing framework and action plan which will further support the work to reduce absence and deal with key issues such as work-related stress. New Mental Health training has been piloted and is due to be rolled out. - New corporate equality strategy and action plan approved by Council which will support the Council in ensuring it meets the requirements of 	4	3	12	<ul style="list-style-type: none"> - Continue to review and reinforce key standards and policies via regular communication. - Ensure Managers are appropriately trained and requirements are clearly set out in Job Descriptions and reinforced via appraisals. - Ensure Internal Audit findings are acted on in a timely manner. - Continue to refine and improve strategic monitoring and reporting in relation to Health & Safety to ensure responsibilities are reinforced from the top. 	4	2	8		Kamal Adatia / Miranda Cannon	31/10/18 and ongoing 31/01/19 and ongoing

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<p>7. SAFEGUARDING</p> <p>Weak Management oversight of safeguarding processes in place leads to the Council failing to adequately safeguard vulnerable groups e.g. children and young people, elderly, those with physical and learning disabilities.</p>	<ul style="list-style-type: none"> - 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 - Leads to high turnover of social workers and managers. 	<ul style="list-style-type: none"> - Safeguarding Adults and Children's Boards in place. - Regular reviews of policies/procedures and close supervision of staff. - Range of quality assurance processes exist within the Divisions. - Range of developments, including corporate training, exist within the Divisions to manage, support recruit and retain staff. - Improvement Board established following the Ofsted inspection and other arrangements e.g. Performance Board set up - 24/7 Duty and Advice Service in place - Single assessment team in place which has resulted in a reduced caseload and more timely intervention 	5	3	15	<ul style="list-style-type: none"> - Board performance and framework development. - Chair of Board has direct accountability through Chief Operating Officer. - Regular bi-annual meetings with Mayor and Adults and Children's Lead Members. - Full implementation of all necessary improvements identified via the Ofsted inspection of Children's Services - overseen by Improvement Board and independency Chair - Performance framework in place across Children's - positive progress highlighted in recent Ofsted reports - Version 11 of Liquid Logic implemented successfully 	5	2	10		Steven Forbes	31/10/18 and ongoing 31/01/19 and ongoing
<p>8. SCHOOL IMPROVEMENT</p>	<ul style="list-style-type: none"> - Poor OFSTED outcome for schools - Increased risk of schools going into category of special measures - Poor outcome for Local Authority if inspected under the OFSTED framework for LA School Improvement effectiveness 	<ul style="list-style-type: none"> - Revised desk top analysis to identify potential underperformance in individual schools and settings - Revised School Improvement Framework - Regular reporting to DMT and LMB on schools causing concern and targeted work - Self evaluation against OFSTED framework for inspection completed - At risk schools discussed and warning notices considered - Inspection file being collated to evidence effective and good practice in targeted work with schools 	4	3	12	<ul style="list-style-type: none"> - Targeted visits by Director of Learning - Revised support packages - Single plan implementation for RI schools - Local Authority Reviews of individual schools to be negotiated - Preparation for inspection to include briefing to all schools 	4	2	8		Paul Tinsley	31/10/18 and ongoing 31/01/19 and ongoing

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			Impact	Probability	Risk		Impact	Probability	Risk			
<p>9. CIVIL CONTINGENCY RESPONSE/INCIDENT RESPONSE</p> <p>Council resources may not be adequate or sufficient to respond should an external incident/disaster occur (for example, the impact of climate change leading to floods placing responsibility to the Council to house evacuees from other counties/areas) .</p>	<ul style="list-style-type: none"> - An increase in inclement weather (flood, heat, waves, drought, windstorm, increased snow fall etc.) building the right infrastructure and new statutory flood and water risk management duties. - Having sufficient financial resources and flexibility to address these challenges becomes increasingly difficult. - Having sufficient assets/contingency arrangements. - Lack of resources could lead to inadequate response . - Impact on the public's health and wellbeing, safety/housing needs etc. - Adverse impact on budget - Reputational impact - Death/injury - Potential for increase in the number of insurance claims - Negative relationships with stakeholders - Fail to meet statutory requirements - City Council fails to respond effectively to the requirements of Government proposals and/or legislation 	<ul style="list-style-type: none"> - Corporate Management of this is outlined in the Leicester Sustainable Action Plan action plan which covers all areas of management activity across the Council and its partners to reduce carbon. - Day to day management of climate change responsibility rests with the Operational Directors and their Heads of Service. - Risk is reported and controlled through the Divisional Directors Operational Risk Registers (presented to Corporate Management Team each quarter) and these are underpinned through regular reviews as part of the revised Eco-Management Audit Scheme (EMAS) system. - Local Resilience Forum (LRF) county wide partnering arrangement. - Leicester City Council (LCC) is part of the Resilience Partnership of local authorities in LLR. LLR Health Protection Committee coordinates health protection response across LA/PHE/NHS - LRF multi-agency flooding TCG exercise held at City Hall to test facilities here. Lessons learnt/debrief held. - City Council major incident plan reviewed and signed off. - Emergency control room fully equipped and operational at City Hall and provides a facility for both local management of emergencies and use by the LRF as a SCG venue. Tested on a number of large scale events e.g. LCFC victory parade and KR3 reinternment and specifically for LRF multi-agency TCG flooding exercise. - <u>New logging system implemented to support major incident response and event management</u> 	4	3	12	<ul style="list-style-type: none"> - Public engagement and city wide flood defence programmes are being developed jointly with the Environment Agency. This provides a two-pronged approach to manage the risk of severe flooding arising from climate change. - LRF and Resilience Partnership arrangements continue to be reviewed. - Robust schedule of plan reviews and training in place and agreed via the LRF - LLR-wide Health Protection Committee arrangements under review to provide assurance around management of health protection risks/ incidents and outbreaks - Continue to undertake full debriefs from any incidents and ensure lessons learnt and recommendations are acted upon. Council debrief for Hinckley Road major incident has been completed and will feed and fed into an LRF formal debrief which is being finalised. 	4	2	8		Miranda Cannon / Alison Greenhill/ Ruth Tennant	31/10/18 and ongoing 31/01/19 and ongoing

Appendix 2a - LCC Strategic Risk Register

Risk Register Owner: Andy Keeling, COO

Date completed: 31/10/18

RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE WITH EXISTING MEASURES			FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE WITH FURTHER ACTIONS/CONTROLS REQUIRED			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk		Impact	Probability	Risk			
<p>10. RESOURCE: CAPACITY, CAPABILITY, RETENTION & DEVELOPMENT</p> <p>Lack of workforce planning and appropriate development of managers and employees leaves the Council exposed to service failure.</p> <p>The Council does not have the capacity/resilience in resources, should an event/incident occur, may significantly increase the demand on front line services. Changing market conditions gives rise to the council not being seen as first choice for employment as private sector may be perceived as offering better reward.</p>	<ul style="list-style-type: none"> - 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/are under pressure which has an impact 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 - Service demands may not be met. - Reputational damage. - Financial impacts. - Drain on resources - Potential reduction in controls being exercised and as a result, the business control environment is reduced. - Potential exposure for fraud/irregularity. - Impact on the Health and Wellbeing of the City. - Council loses knowledge, experience and skills - Posts not filled with the right skills set/qualification/experience - changing market conditions may result in the Council being unable to recruit to specific posts or attract candidates of the right skill mix 	<ul style="list-style-type: none"> - Organisational Development Team (OD) working to develop their role and remit and engagement with the organisation - Organisational vision and values continued roll out - Active programme of work to support young people into employment and to utilise graduates, apprenticeships, work placements etc across the Council and to maximise the use of the apprenticeship levy. Significant numbers of graduates and apprenticeships in place within the Council - Transformation and Service Improvement Team (TSI) actively supporting a range of areas around business change, process re-engineering etc and supporting skills transfer in the process - Digital Transformation programme includes a focus on developing the digital skills and competencies within the workforce 	4	3	12	<p>An approach to workforce planning has been piloted and dashboards developed to support divisions. This is to be reported back to CMT and used to inform further what OD interventions and L&D activity and support is needed as part of the work of the OD Team</p> <ul style="list-style-type: none"> - Continue the embedding of the vision and values across the organisation - Enabling our best work project on performance management has developed a framework for employee performance management and proposed leadership competencies to underpin management and leadership development. These will now go to CMT for consideration prior to are now being prepared for wider roll out and application - Continue to identify opportunities to use apprenticeship schemes in targeted areas e.g. recent launch of new apprenticeship scheme in adult social care in partnership with Warwick University 	3	3	9		Miranda Cannon / Craig Picknell	31/10/18 and ongoing 31/01/19 and ongoing

Appendix 2a - LCC Strategic Risk Register

Risk Register Owner: Andy Keeling, COO

Date completed: 31/10/18

RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE WITH EXISTING MEASURES			FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE WITH FURTHER ACTIONS/CONTROLS REQUIRED			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk		Impact	Probability	Risk			
<p>11. COMMISSIONING, CONTRACT MONITORING, MANAGEMENT & PROCUREMENT</p> <p>Lack of robustness and uniformity in contract management & monitoring protocols/procedures/controls and limited awareness/understanding of contractual risks by staff within the Council, particularly by those procuring for goods/services.</p>	<ul style="list-style-type: none"> - Reputational damage. - Financial impacts; valuable funding is used for rectification of issues. - Increase in staff resources to defend a challenge. - Potential for litigation and fines being incurred. - Contract service level agreements may not be adhered to. - The Council does not receive value for money for the services it procures. - The Council is challenged in the reduction of contracts when re-tendered. - Discouraged providers may not tender for the contract in the future, potentially reducing the portfolio of providers and even reducing the availability of high quality providers. - Council pay higher fees for services contracted or are unable to exit contracts when service delivery is not inline with the expected quality/contractual requirements. - The Council may not procure goods and services from sustainable providers. - Partnership arrangements/collaborative agreements where formalised legally binding contracts are not in place. - Lack of consistency in LCC standard contract/agreement clauses leaves LCC open to liability risks 	<ul style="list-style-type: none"> - Revised and improved Contract Procedure Rules in place along with associated guidance. - Policy that all procurement over a de minimis threshold must be carried out by one of the specialist procurement teams. - Professional procurement staff recruited and in post - Contract Risk Management training available from RMIS - Engagement with local supplier groups - Professional training for procurement staff (MCIPS) - Implementation of new electronic tendering system in use - Procurement template documentation in use - Service Analysis Team 	3	4	12	<ul style="list-style-type: none"> - Development of new procurement template documentation - Implementation of new electronic tendering system - Professional training for procurement staff (MCIPS) - Training in procurement and contract management for staff across the Council - Enhanced engagement with local business to widen portfolio of potential suppliers - Development of communications plan to ensure all staff are informed of above as appropriate to their role. - Undertake recruitment to address vacancies in the Procurement Services Team - Development of new Service Analysis Team - Service Analysis Team to use work to date to inform major piece of work around commissioning and contract management' 	3	3	9		<p>Alison Greenhill Kamal Adatia</p>	<p>31/03/19 and ongoing</p>

Appendix 2a - LCC Strategic Risk Register

Risk Register Owner: Andy Keeling, COO

Date completed: 31/10/18

RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE WITH EXISTING MEASURES			FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE WITH FURTHER ACTIONS/CONTROLS REQUIRED			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk		Impact	Probability	Risk			
<p>64</p> <p>11. CONTRACT MANAGEMENT & PROCUREMENT (Continued).</p>	<ul style="list-style-type: none"> - Council pay higher fees for services contracted or are unable to exit contracts when service delivery is not inline with the expected quality/contractual requirements. - The Council may not procure goods and services from sustainable providers. - Partnership arrangements/collaborative agreements where formalised legally binding contracts are not in place. - Lack of consistency in LCC standard contract/agreement clauses leaves LCC open to liability risks - Not being clear in LCC specifications and requirements restricts the ability to effectively work with or manage the provider - Agreements instantly limit the ability to get specific measurable outcomes LCC might want and the City needs - Different processes/procedures/governance/expectations on delivery within the same areas of expertise i.e. procurement or commissioning Duplicate and waste time in preparation on contracts Contracts/agreements exist with no stability/not robust/lack of control across the council 											<p>31/10/18 and ongoing 31/01/19 and ongoing</p>

Appendix 2a - LCC Strategic Risk Register

Risk Register Owner: Andy Keeling, COO

Date completed: 31/10/18

RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE WITH EXISTING MEASURES			FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE WITH FURTHER ACTIONS/CONTROLS REQUIRED			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk		Impact	Probability	Risk			
<p>12. ASSET MANAGEMENT That in advance of the imminent completion and adoption of the Council's strategic and corporate asset management plan that the condition of certain properties will deteriorate.</p> <p style="font-size: 2em; margin-top: 20px;">65</p>	<p>The council's assets may fall into disrepair losing income and increasing maintenance costs. .</p> <p>Inability to optimise performance of the port folio.</p>	<p>-Final Asset Management Plan - including lifecycle planning for schools will be embedded during mid 2018. UBB Programme now mainstreamed into EBS business as usual activity</p> <p>-A single corporate asset management system is now in place.</p> <p>- Central Maintenance Fund is available to address urgent repair items and Health</p>	5	4	20		5	3	15		<p>Phil Coyne/Matt Wallace</p>	<p>31/10/18 and ongoing 31/01/19 and ongoing</p>
<p>13. NATIONAL AGENDA/CHANGES IN LEGISLATION/ GOVERNMENT ETC On-going changes in government, legislation etc. gives rise to new demands and responsibilities with insufficient time for implementation and insufficient budget.</p>	<ul style="list-style-type: none"> - Loss of income. - Services may not be delivered. - Reputational damage. - The budget may not be sufficient to deliver the expected service demand. - Statutory services. such as public health may be reduced and or the Council is unable to protect and safeguard the public, vulnerable individuals etc. - Implementation of unpopular fees for services required by the Public of the Council. - The health and wellbeing of the City may be impacted. - Causing service failure or significant cost over runs. 	<ul style="list-style-type: none"> - Directors keep abreast of policy change and development in their portfolios. - The implications of change described and discussed - including political briefings if required. - Budgeting takes account of national changes. - Staff are trained in new requirements. 	4	3	12	<ul style="list-style-type: none"> - Examine options for service integration; improved leadership development; manage demand better; have honest conversations with the public about what can be expected from us - Improve commissioning activity across the Council. 	3	2	6		<p>Andy Keeling</p>	<p>31/10/18 and ongoing 31/01/19 and ongoing</p>

Appendix 2a - LCC Strategic Risk Register

Risk Register Owner: Andy Keeling, COO

Date completed: 31/10/18

RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE WITH EXISTING MEASURES			FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE WITH FURTHER ACTIONS/CONTROLS REQUIRED			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk		Impact	Probability	Risk			
<p>14. DIGITAL TRANSFORMATION The council may not be able to maximise the use of technology and data to work smarter and more efficiently, reduce costs and deliver customer friendly services. Integration of data, workflows and systems may not be delivered as required</p>	<ul style="list-style-type: none"> - LCC is not able to meet the savings targets associated with this transformation - Service delivery may not be met or may be compromised - Demand management may become problematic as increased population and draw on services. - Service costs may increase as more demand is placed on expensive channels - Demand and service costs are increased by if the end to end transformation of both the service area and the IT/data is not delivered as creating a digital presence only increases the process, rather than streamlining - Reputational damage to the council as demand pressures increase - Customer experience is poor, leading to complaints and an increased demand as customers are accessing the services multiple times for the same transaction 	<ul style="list-style-type: none"> - Scope, vision, objectives and design principles for the digital transformation programme have been agreed. - Digital Transformation Programme Manager has been appointed and will start mid-July. Now in post. - Digital Transformation Board established and a digital transformation gateway process to manage projects is agreed and in place supported by a weekly Digital Transformation conference call led by senior officers. - Resources for the programme are being secured and relevant areas of the programme are being taken forward using existing core resources in areas such as Organisational Development and Equalities. - New workstreams are being scoped and Key transformation projects have been agreed and are being undertaken within the workstreams around ICT rationalisation, channel transformation and service based digital transformation. Work underway on identifying and baselining metrics to measure the progress and impact of the programme overall. such as replacement ACD system which will help transform telephony contact. - New Open Data platform has gone live with transparency data and work underway to look at future development of the platform. - Council has signed up to the DHCLG digital declaration and is engaged with the new national Digital Collaboration Unit to support the programme. Expressions of interest have been submitted for the national Digital fund. 	4	3	12	<ul style="list-style-type: none"> - Develop Complete the capture of the detailed baseline to inform the programme development and a clear set of metrics to measure progress across the different aspects of digital transformation - Upskill and embed programme resources to ensure a customer centric approach to design so that digital transformation ensures a customer friendly approach with clear customer experience - Ensure clear communications relating to the programme. 	3	3	9		Miranda Cannon	31/10/18 and ongoing 31/01/19 and ongoing
<p>15. EU REFERENDUM LEAVE RESULT. BREXIT SCENARIOS - There may be significant implications relating to requirements for further public sector cuts, reductions in other funding streams particularly for infrastructure projects, as well as longer-term legislative changes in areas such as procurement. Also creating a level of instability and uncertainty in financial markets and in relation to staffing either directly or indirectly (via supply chains)</p>	<ul style="list-style-type: none"> - Further budget reductions. Impacts on major infrastructure schemes and vision around future city development. - Implications in terms of treasury management. - Need in future to revisit key policies and procedures - Impact on service delivery due to loss of staff/inability to recruit - Contracts – disruption of service delivery and/or increase in costs where EU contracts/suppliers are part of the supply chain e.g. telecoms and construction - Increased demand for support by citizens e.g. impact on advice services, benefit and general support entitlement, housing etc - School admissions –reduced demand impacting on schools if EU migrants leave the UK 	<ul style="list-style-type: none"> - Monitor situation closely. - Joint work underway with LRF to assess risks and identify where plans needed - Work underway on an LCC risk assessment relating to potential Brexit impacts 	4	3	12	<ul style="list-style-type: none"> - Complete risk assessments with LRF and internally and monitor. Consider implications alongside future budget strategy 	3	3	9		Andy Keeling / Alison Greenhill / Miranda Cannon	31/10/18 and ongoing 31/01/19 and ongoing

Appendix 2a - LCC Strategic Risk Register

Risk Register Owner: Andy Keeling, COO

Date completed: 31/10/18

RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE WITH EXISTING MEASURES			FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE WITH FURTHER ACTIONS/CONTROLS REQUIRED			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk		Impact	Probability	Risk			
67												
16. FIRE RISK IN TALL BUILDINGS As a result of the failure of cladding materials and fire safety measures the fire service issues a prohibition notice leading to the evacuation of a high rise residential building .	- The Council is faced with the potential rehousing of occupiers at short notice and for a potentially indeterminate period of time.	- The Council is contributing to an ongoing exercise (led by LFRS) whereby high rise buildings are assessed for a) cladding b) whether that cladding is ACM and c) through the fire service, whether the building satisfies fire safety regulations. - <u>All LCC owned tall buildings have been reviewed in conjunction with LFRS and any mitigating actions identified completed</u> - <u>Maxfield House is a s part of a planned improvement programme having work undertaken, this is currently empty and work ongoing</u> - <u>Decision taken to demolish LCC owned Goscote House taken.</u> - <u>No further occupation and current tenancies reducing to mitigate risk (from 134 now down to 42 tenants - 24 of these to be rehoused to Maxfield House)</u>	4	3	12	- The fire service will provide the Council with an early indication of any buildings where a prohibition notice is likely to be issued in order that options for temporary accommodation can be considered in advance of any potential displacement. The Council and the Fire Service jointly will continue to review high rise and other buildings in the context of emerging government guidance - <u>Demolition of Goscote House due during 2019.</u> - <u>Decision taken to fit sprinklers to all LCC owned tall buildings, Maxfield House is being fitted in 2018 during improvement works. All other LCC owned Tower blocks to have sprinklers retro fitted from 2019 onwards</u>	2	3	6		Phil Coyne	31/10/18 and ongoing <u>31/01/19 and ongoing</u>
New												
17. Freeschools - Uncertainty over the delivery and timing of government free schools, together with risks around the impact of Brexit, leaves the city with either insufficient or a surplus of secondary school places.	Surplus space developed which prejudices particular schools resulting in closures or that of the freeschool programme stalls and we find a lack of places, with subsequent impact on our legal duty, the education of children and the reputation of the Council. This would carry financial impact in terms of either emergency mitigation measures required.	Working with the government freeschools team to ensure that any assistance the Council can provide in delivery of schools is managed efficiently. Working with secondary schools around the city to facilitate temporary provision of space to accommodate larger classes. In order to reach a point of certainty in the provision of space we are working both internally and with assistance from independent experts to review our place planning forecasts and develop phased provision of new space. This work is being managed by an internal Schools Estates Governance Board and is reporting regularly.	4	3	12	Being received frequently but sufficient control measures currently in place. Should additional resource be required this will be put in place.					Phil Coyne	

Appendix 3

LCC Operational Risk Exposure Summary as at 31st October 2018

Risk Ref (as per ORR)	Risk	Risk Owner	Risk Score with existing controls			Target Risk Score with further controls			Target date
			I	L	Score	I	L	Score	
STRATEGIC AREA – ADULT SOCIAL CARE									
1.	Care Services & Commissioning (ASC) - Budget & Compliance Lack of budget / resources to comply with changes in DOLs legislation	TR	4	4	16	4	3	12	31/01/19 ongoing
3.	Care Services & Commissioning (ASC) - Mental Health - Statutory Duty LCC is legally obliged under the Mental Health Act (MHA) to provide 24/7 service	TR	4	4	16	4	3	12	31/01/19 ongoing
2.	Care Services & Commissioning (ASC) - Removal of salary enhancements	TR	4	4	16				31/01/19
4.	Care Services & Commissioning (ASC) - Data breach - Human error as demands on role increase likelihood for breach with access to sensitive data	TR	5	3	15	4	3	12	31/01/19
STRATEGIC AREA – CITY DEVELOPMENTS AND NEIGHBOURHOODS									
7.	Neighbourhood and Environmental Services – Beaumont Park Depot – Condition of depot creating risks to service delivery, individuals working on site and visitors	JL	5	4	20	5	2	10	31/03/19
6.	Housing - Data Breaches – Increasing demand on staff capacity increases potential for errors which lead to data breaches	CB	4	4	16	4	4	16	31/01/19
8.	Neighbourhood and Environmental Services – Lack of adequate resource capacity	JL	4	4	16	3	4	12	31/01/19 ongoing
13.	Tourism, Culture & Investment – Markets – Risk relating to trader attrition and inability to attract new traders particularly during the market improvement works	MD	4	4	16	3	3	9	31/01/19 ongoing
14.	Tourism, Culture & Investment – Markets – the prevalence of incidents of anti-social behaviour in and around the Market area	MD	4	4	16	2	3	6	31/01/19 ongoing
5.	Housing – Legislation - Change in Government legislation on council housing known to be coming but full details remain unclear	CB	3	5	15	3	4	12	31/01/19
9.	Neighbourhood and Environmental Services – Reduction in income generation programmes	JL	3	5	15	3	4	12	31/01/19 ongoing
10.	Neighbourhood and Environmental Services – Resource & Capacity - Increased workforce age profile;	JL	3	5	15	3	4	12	31/01/19 ongoing
12.	Planning and Transportation Transport Strategy – Tackling Nitrogen Dioxide and	ALS	5	3	15	4	3	12	31/01/19 ongoing

Risk Ref (as per ORR)	Risk	Risk Owner	Risk Score with existing controls			Target Risk Score with further controls			Target date
			I	L	Score	I	L	Score	
	other air pollutants								
15.	Tourism, Culture & Investment – De Montfort Hall – Loss of operational ability due to failure of flying bars if not replaced	MD	5	3	15	5	2	10	31/01/19 ongoing
16.	Tourism, Culture & Investment – De Montfort Hall – Loss of operational ability due to failure of stage lift if not replaced	MD	5	3	15	5	2	10	31/01/19 ongoing
11.	Neighbourhood and Environmental Services – Asset Condition; Condition of buildings creating risks to service delivery and individuals (in certain circumstances)	JL	5	3	15	3	3	9	31/01/19 ongoing
STRATEGIC AREA – CORPORATE RESOURCES AND SUPPORT									
20.	Finance - Information and Customer Access – Cyber Security. Increasing profile and expertise to circumvent established defences increase vulnerability of LCC data.	AG	4	5	20	4	5	20	31/01/19 ongoing
23.	Finance – Corporate Fraud; Failure or inability to effectively detect, prevent, investigate and deal with corporate fraud	AG	5	4	20	5	4	20	31/01/19
26.	Legal - Flexible working practices which expose data to new risks, inappropriate disclosure of personal data, insecure and excessive information sharing, failure to comply with the Regulation of Investigatory Powers Act 2000.	KA	4	5	20	4	3	12	31/01/19
22.	Finance - Financial challenges - the Council fails to respond adequately to the cuts in funding over the coming year or years.	AG	5	4	20	5	2	10	31/03/19 and ongoing
19.	Delivery, Communications and Political Governance – Implementation of the new HR system goes over budget / timescales or fails to achieve desired outcomes and benefits	MC	4	4	16	4	4	16	31/01/19
21.	Finance - Tactical Decision Making - Business solutions considered by services, which impact upon Information Services service delivery, are taken without consultation or considering the impact	AG	4	4	16	4	4	16	31/01/19 ongoing
17.	Delivery, Communications and Political Governance - The service may struggle to manage a number of unplanned, additional elections	MC	4	4	16	4	3	12	31/01/19 ongoing
18.	Delivery, Communications and Political Governance - Legal challenges particularly related to PSED/Consultation/Employment – Increased legal challenges heighten the need to ensure that processes are effective and efficient.	MC	4	4	16	4	3	12	31/01/19 ongoing
24.	Finance – Introduction of Universal Credit Full	AG	4	4	16	3	4	12	31/01/19

Risk Ref (as per ORR)	Risk	Risk Owner	Risk Score with existing controls			Target Risk Score with further controls			Target date
			I	L	Score	I	L	Score	
	service								
25.	Finance – BSC /Payroll Service – Loss or partial loss of Payroll Application SAFE	AG	3	5	15	3	4	12	31/01/19 ongoing
STRATEGIC AREA - EDUCATION AND CHILDREN'S SERVICES									
27.	Children's Social Care and Early Help - Budget Loss and / or reduction of services to achieve budget savings	CT	5	4	20				31/01/19
28.	Children's Social Care and Early Help – GDPR - Change in Data Protection regulation (GDPR) which came into force May 2018.	CT	4	4	16	5	3	15	31/01/19
29.	Strategic Commissioning and Business Development – Safeguarding / teaching and learning workforce programmes are ineffective and Local Authority has insufficiently trained staff to deliver and manage the range.	TBC	4	4	16	4	3	12	31/01/19
STRATEGIC AREA – PUBLIC HEALTH									
31.	Budget Restrictions - Commissioning Reduced budget for services impacts on financial viability to potential 3rd party contractors who may deem package to be unsustainable.	IB	4	4	16	4	4	16	31/01/19
32.	Budget - External Influences External national imperatives without associated budget introduced which will impact on local delivery	IB	4	4	16	4	4	16	31/01/19
30	Budget Restrictions - Funding Ongoing austerity for Public Sector requires changes to service delivery to comply with available budget, continued reductions could force termination of services to ensure priority services remain available	IB	3	5	15	3	5	15	31/01/19

Key:

IMPACT (I)	SCORE
CRITICAL/ CATASTROPHIC	5
MAJOR	4
MODERATE	3
MINOR	2
INSIGNIFICANT/ NEGLIGIBLE	1

LIKELIHOOD (L)	SCORE
ALMOST CERTAIN	5
PROBABLE / LIKELY	4
POSSIBLE	3
UNLIKELY	2
VERY UNLIKELY / RARE	1

Risk scores:

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

Risk Owners:

AG - Alison Greenhill
CB - Chris Burgin
CT - Caroline Tote
IB - Ivan Browne
JL - John Leach

KA - Kamal Adatia
MC - Miranda Cannon
MW - Matt Wallace
TR - Tracie Rees

Appendix 4 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk	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 existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
STRATEGIC AREA - Adult Social Care												
1. Care Services & Commissioning (ASC) - Budget & Compliance Lack of budget / resources to comply with changes in DOLs legislation 73	- DOLs assessments not carried out; - Potential for individuals DOL and claims against LCC	- Agreed with Leadership to change the prioritisation system with a view to reducing the number of people not seen at least once - Employing services of a barrister Use of independent BIAs to be increased to cover sickness - Use of form 3b; - Development of internal staff (Social workers - BIA)	4	4	16	Report to Exec - seeking additional funding. 12month funding.	4	3	12		Tracie Rees	31.01.2019 Ongoing
2. Care Services & Commissioning (ASC) - Salary enhancements Removal of enhancements	- Failure to provide out of hours service (Stat duty); - Loss of key staff who seek alternative employment; - disruption to service standards and provision; - decreased morale	- Raised profile corporately	4	4	16						Tracie Rees	31.01.2019

Appendix 4 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk	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 existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>3. Care Services & Commissioning (ASC) - Mental Health - Statutory Duty LCC is legally obliged under the Mental Health Act (MHA) to provide 24/7 service</p>	<ul style="list-style-type: none"> - Risk of harm to, or by, mentally ill person - Breach of compliance and possible fines - Reputational damage - Impact on morale and stress if staff working outside hours - Increased staff turnover leads to immediate resource issues; also recruitment and training requirement - Potential delays and can increase working hours. - Not meeting MHA legislation - Potential delays and can increase working hours. 	<ul style="list-style-type: none"> - 24/7 rota reviewed with AMPs and Unions and due for implementations shortly; - using non-AMPs for appropriate functions 	4	4	16	<ul style="list-style-type: none"> Management support to AMHPs; - continue to consider options for recruitment, Continue to escalate formal review of rota across 24/7 commencing with AMHPs and unions on 10.04.2018 	4	3	12		Tracie Rees	31.01.2019 Ongoing
<p>4. Care Services & Commissioning (ASC) - Data breach Human error as demands on role increase likelihood for breach with access to sensitive data</p>	<ul style="list-style-type: none"> - Sensitive data shared with wrong individuals; - Distressing to service users; - Reputational damage to LCC; - ICO investigation and potential fines 	<ul style="list-style-type: none"> - E-learning staff training - mandatory; - HR action against offenders / disciplinary / dismissal / court; - Shared learning; - Information sharing agreement / DPA policy; - Caldicott Guardian - TR; - Automated message on log-on 	5	3	15	<ul style="list-style-type: none"> Reviewing toolkits / refresher training / reviewing guidance and training on GDPR requires regular refresher 	4	3	12		Tracie Rees	31.01.2019

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Appendix 4 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>What is the issue:</p> <p>what is the root cause/</p> <p>problem – what could go wrong</p>												
STRATEGIC AREA - City Development and Neighbourhoods												
<p>5. Housing - Legislation</p> <p>Change in Government legislation on council housing known to be coming but full details remain unclear</p> <p align="center" style="font-size: 2em;">75</p>	<p>Requirement to increase stock significantly would likely be difficult to adhere to. Current stock reducing through RTB with remaining stock primarily less desirable and needing increased maintenance investment; overcrowding may get worse</p>	<p>- Stock significance - housing company established - phase one agreed and implementation starts Jan 2019;</p> <p>- Homecome sourcing additional affordable lets;</p> <p>- New build included within affordable housing register (homechoice system);</p> <p>- Prioritised housing register to focus on those with greater need;</p> <p>- Under occupation project underway to review opportunities / availability of estate to meet needs and demands;</p> <p>- STEPT accommodation provision to support customer needs</p>	3	5	15	<p>- Phase 2 to be scoped following completion of Phase 1;</p> <p>- Social lettings agency option being considered to being unaffordable available accommodation in city;</p> <p>- Consider further prioritised needs assessment;</p> <p>- Establish tenant incentive scheme as part of under occupation project;</p> <p>- Pursue additional STEPT accommodation</p>	3	4	12		Chris Burgin	31.01.2019
<p>6. Housing - Data Breaches</p> <p>Increasing demand on staff capacity increases potential for errors which lead to data breaches</p>	<p>- Sensitive data shared without permission;</p> <p>- ICO investigation and potential significant fines,</p> <p>- Reputational damage,</p> <p>- Decreased morale,</p> <p>- Decreased capacity as staff support investigation</p>	<p>- Staff training on-line mandatory programmes;</p> <p>- Reinforced notifications;</p> <p>- Formal process to manage breach, formal disciplinary procedures to manage process;</p> <p>- HR support;</p> <p>- Introducing technology to support staff undertaking their roles;</p> <p>- Channelling services on-line to allow customers to self serve;</p> <p>- Password protection mandatory;</p> <p>- Proactive recruitment and retention to maintain FTE levels;</p> <p>- Planned and organised approach to service changes;</p>	4	4	16	<p>- Ongoing programme of training and education;</p> <p>- Enhanced use of hardware;</p> <p>- Channel shift to promote self serve;</p> <p>- Streamlining of processes,</p> <p>- Review of service analysis / requirements,</p> <p>- Lessons learned review across council from Information Governance</p>	4	4	16		Chris Burgin	31.01.2019

Appendix 4 - Leicester City Council Operational Risk Register

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Risks as at: 31/10/18

Risk	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 existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>7. Neighbourhood and Environmental Services - BEAUMONT PARK DEPOT Condition of depot creating risks to service delivery, individuals working on site and visitors, situation identified in H&S report in 2011.</p>	<ul style="list-style-type: none"> - Serious accident injury and or death to staff/member of public. - Reputational damage to LCC. - Insurance claims against the Council. - Legal challenge. - Media exposure. - Adverse effect on budget/finances. - Closure of premises, loss of service. - Breaches in legislation and/or non-compliance. - Demand led services may not be met. 	<ul style="list-style-type: none"> - On going review of depot in-house Business Change Manager facilitating with E&B. Undertaking options appraisal with input from Legal, Planning and Highways. - Building conditional surveys reviewed under the TNS Programme. - Agreed to manage outside of Depot review with separate budget allocation. - Dedicated Banksman employed to manage traffic movement on site. - All staff trained in banksman duty of care. - H&S team undertake review of short term safety measures for pedestrians and vehicles on site. 	5	4	20	<ul style="list-style-type: none"> - Building reviewed under Depot review part of Technical Services Board. Looking at options to extend footprint to allow more space required for scale of operations and introduce a one way system for access and egress. - Flagged as a Department issue through to Strategic Director. No budget allocated to project, Director NES and P&OS HOS requested priority vehicle access works as part of Depot £1m project at meeting with Director E&B 10 May 2018. Still no agreed action to resolve. Site visit undertaken 26 September 2018 with H&S Manager to review and recommendations provided to Strategic Director. Agreed operational actions completed. Excerpt of Risk Register sent to Strategic Director. 	5	2	10	Unknown at present	John Leach	31.03.2019

Appendix 4 - Leicester City Council Operational Risk Register

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Risks as at: 31/10/18

Risk	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 existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>8. Neighbourhood and Environmental Services - LACK OF ADEQUATE RESOURCE CAPACITY Increase in the demand led services, along with the reduction in head count could mean that there are insufficient resources to deliver the required service levels. During times of change, staff are not always aware of the changes being made, resulting in confusion etc.</p>	<ul style="list-style-type: none"> - Teams already at a minimum and extra workloads are unsustainable. - As demand-led services increase, workload and public expectations increase. - Likelihood of key person dependency as teams reduce further (fewer people in key roles). - Potential risk of non-compliance or breaches/lack of a substantial control environment. - Service delivery requirements not met. - Staff wellbeing may be harmed. - Reputational damage may result from unplanned building closures due to staff shortages. 	<ul style="list-style-type: none"> - Existing prioritisation arrangements are in place. - Policies and procedures are in place. - Processes are in place. - Regular briefings and PDRs - Organisational review consultation process. 	4	4	16	<ul style="list-style-type: none"> - Review of succession planning is to be conducted. - Need to assess the service demand against the resource availability to understand impacts and generate action plans. - Develop further prioritisation arrangements. - Continually assess through performance appraisals and individuals one-to-ones. - Need to plan work rather than be reactive, put in place "response times" for undertaking work. 	3	4	12		John Leach	31.01.2019 Ongoing

Appendix 4 - Leicester City Council Operational Risk Register

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Risks as at: 31/10/18

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>9. Neighbourhood and Environmental Services - REDUCTION IN INCOME GENERATION PROGRAMMES</p> <p>With reductions in public demand in Building Control and Pest Control income generated by the Council may be significantly reduced and income generation/revenue targets may not be met.</p> <p>Also, 'one off' income programmes are set as recurring within the budgets/accounts; impacting further on future financial targets.</p> <p>Competition from competitors e.g., Crematorium.</p>	<ul style="list-style-type: none"> - Budgets are not adhered to. - Income streams continue to reduce (e.g. Building Regs) due to the economic climate. - Targets remain the same or increase, against income sources and staff reductions. - One off income is disclosed as recurring, increasing the savings gap. - Internal recharges, e.g. for community space, will reduce as services reorganise. 	<ul style="list-style-type: none"> - Budgets are in place and alternative savings option appraisals are performed and saving plans are implemented. - Policies and procedures are in place. - Adhoc business development arrangements are in place. - An agreement is in place for withdrawal of internal services from community settings under the TNS programme. 	3	5	15	<ul style="list-style-type: none"> - Need to review income targets for recurring and 'one off' income with finance to resolve on-going issues. - Enhance the business development resources/opportunity. - Budget strategy review. - Service review/impacts. - Further marketing and promotional projects. - Exec briefing paper on Bereavement Services F&C options. - Larger shared service for Building Control Developing feasibility assessment 	3	4	12	N/A	John Leach	31.01.2019 Ongoing
<p>10. Neighbourhood and Environmental Services - RESOURCE & CAPACITY - INCREASED WORKFORCE AGE PROFILE</p> <p>Specialist skills and knowledge within the team may be lost due to future retirement programmes. Furthermore, national surveys have identified a lack of aspiration in individuals (younger generation, female workforce and some ethnicities) wishing to join the Council within these roles.</p>	<ul style="list-style-type: none"> - Teams already at a minimum number and extra workloads may be unsustainable. - Likelihood of key person dependency as teams reduce further (fewer people in key roles). - Potential non-compliance with legislation/regulation. - Potential stress-related absence/claims. - Quality of service delivery may be affected. 	<ul style="list-style-type: none"> - "Step up" - work experience utilise - Graduate project officers. - Training & Mentoring - Knowledge sharing - Apprenticeship Levy - Leicester Environmental Volunteer scheme - PDR's, identify training and skills gaps and needs 	3	5	15	<ul style="list-style-type: none"> - Succession planning review is required. - Continue to enhance and develop the apprenticeship scheme. - Commence positive promotion of the work/career in this area. - Seek funding for apprenticeship. - Ensure knowledge sharing takes place. - Training/ Mentoring/ Structuring. 	3	4	12	N/A	John Leach	31.01.2019 Ongoing

Appendix 4 - Leicester City Council Operational Risk Register

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>11. Neighbourhood and Environmental Services - ASSET CONDITION Condition of buildings creating risks to service delivery and individuals (in certain circumstances)</p>	<ul style="list-style-type: none"> - Building/service closures - Insurance claims against the council - Reputational damage to LCC 	<ul style="list-style-type: none"> - On going review and inspection of building in-house and is liaison with Property services - Building conditional surveys reviewed under the Transforming Neighbourhood Services Programme (TNS) 	5	3	15	<ul style="list-style-type: none"> - Building reviewed under TNS - Condition surveys commissioned and review to address key issues 	3	3	9		John Leach	31.01.2019 Ongoing
<p>12. Planning and Transportation - Transport Strategy -Tackling Nitrogen Dioxide and other air pollutants</p>	<ul style="list-style-type: none"> - Ongoing poor air quality contributing to ill health and death of Leicester population. - Possibility of fines if remain in the EU or from government if not. - Poor reputation of Leicester as a city to work, live or visit. - Failure to meet government air quality mandating requirements. 	<ul style="list-style-type: none"> - Air Quality Action Plan 	5	3	15	<ul style="list-style-type: none"> - Air Quality Action Plan Board in place and action plan is being delivered. CAZ agreement with bus operators to signed. Defra funding secured for Feasibility Study to assess AQ intervention options. £16m ERDF Low Carbon bid. - Successful Transforming Cities bid likely to exceed ERDF delivery. DfT inception meeting 9/11/18. 	4	3	12		Andrew L Smith	31.01.2019 Ongoing
<p>13. Tourism, Culture & Investment - Markets - Risk relating to trader attrition and inability to attract new traders particularly during the market improvement works</p>	<ul style="list-style-type: none"> - Trader occupancy rates currently sit at 53% average. This is due, it is felt, to the ongoing improvement works taking place in the area and the general malaise in city centre retail. - Ongoing regeneration in the Market will, it is hoped, halt the reduction in traders 	<ul style="list-style-type: none"> - The new screen will be potentially completed on 02/19 and will be used to attract footfall to the area to encourage sales. Improvement work to the Market is on going, but expected to start 10/2018. 	4	4	16	<ul style="list-style-type: none"> Actions to be taken. Review and analysis of market traders likelihood to leave the market undertaken and can be provided as evidence. Carry out revised regeneration works and encourage specific commodities 	3	3	9	nil	Mike Dalzell	31.01.2019 Ongoing

Appendix 4 - Leicester City Council Operational Risk Register

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>14. Tourism, Culture & Investment - Markets - The prevalence of incidents of anti-social behaviour in and around the Market area</p>	- Public and Traders cease to use the Market because of the prevalence of ASB issues	- Inspectors regularly patrol	4	4	16	- Market rules are complemented with zero tolerance. Security staff are engaged. Make frequent Police Patrols	2	3	6	£30,000 pa	Mike Dalzell	31.01.2019 Ongoing
<p>15. Tourism, Culture & Investment - De Montfort Hall</p> <p>- Loss of operational ability, falling below customer expectation, loss of reputation, knock on effect to touring promoters if facilities not up to industry expectation.</p> <p>Root problem: The flying bars recently suffered some failures and if the flying bars were to cease operation, we would not be able to continue with our programme of shows.</p>	- Loss of income, loss of reputation, negative PR.	- Responsibility for maintenance of the flying bars has rested with DMH until recently. The recent condition report commissioned by Theatre Plan, suggest that the flying bars will fail in 12-18 months. Approximate cost of replacement would be £200k. Further investigation is required. EBS will struggle to fund from maintenance budgets.	5	3	15	- Replacement took place during summer, however teething problems persist. EBS working with contractor to resolve.	5	2	10	circa £100k. Funded via EBS capital.	Mike Dalzell	31.01.2019 Ongoing

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>16. Tourism, Culture & Investment - De Montfort Hall - Loss of operational ability, falling below customer expectation, loss of reputation, knock on effect to touring promoters if facilities not up to industry expectation.</p> <p>Root problem: The stage lift has recently suffered some failures and if this lift were to cease operation, we would not be able to change format of the hall to enable DMH to hold the variety of performances we currently have booked</p>	- Loss of income, loss of reputation, negative PR.	- Responsibility for maintenance of the stage lift has rested with DMH until recently. EBS have now taken on responsibility. We have had the lift serviced this Summer 2017, with recommendations for some repairs to take place in Summer 2018 which would cost approximately£30k but the lift really needs to be replaced entirely at a cost nearer £200k. The recent conditional report suggest that the lift will fail in 12-18 months. Property services have expressed that they do not have a budget to service our needs.	5	3	15	Works procured but cannot be carried out until Aug 2019. Mitigation and controls to be put in place reduce risk of failure in meantime.	5	2	10	Mitigation in place for 2hr callout until works can be undertaken..	Mike Dalzell	31.01.2019 Ongoing
STRATEGIC AREA - Corporate Resources and Support												

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<p>17. Delivery, Communications and Political Governance - UNPLANNED ELECTION EVENT</p> <p>The service may struggle to manage a number of unplanned, additional elections, as well as a number of different type of elections e.g. House of Lords, Referendums etc.</p> <p>- Unable to source suitable polling stations and a count venue for unplanned elections.</p>	<p>- Elections not performed appropriately/challenges received.</p> <p>- Reputational damage.</p> <p>- Adverse effect on finances.</p> <p>- Media coverage.</p> <p>- Public complaints.</p> <p>- Increase in resource requirements.</p> <p>- Could lead to increased expectations on the existing trained core team, who hold relevant and detailed knowledge.</p> <p>- The potential repetition of impacts and pressures that arose during 2011 elections.</p> <p>- Impacts also on the wider capacity and resources of the Council which would be needed to support delivery.</p>	<p>- Returning officer and nominated deputies are in place.</p> <p>- Insurance is in place.</p> <p>- Many elections can be planned and have set dates. Monthly planning meetings and work underway in preparation for the next planned elections (Mayoral and Local) in May 2019 taking account of lessons learned from recent elections. Monthly meetings have considered and will continue to review the risk of a further short-notice general election due to continued issues nationally arising from Brexit negotiations</p> <p>- May 2015 and 2016 elections and EU referendum enabled newer members of the core team to develop further skills and experience in specific aspects of the elections process which was further consolidated by 2017 general election.</p> <p>- Electoral Commission guidance gives detailed support in the planning and management of each specific type of elections.</p> <p>- A number of the Electoral Services team undertaking professional AEA qualifications. Recruited two new electoral services officers and they will be provided with appropriate core professional training</p> <p>- In recent elections have drawn upon external expertise e.g. training delivered via AEA and involved a wider group of staff from across the Council to support the process.</p> <p>- Detailed debriefs have been done after</p>	4	4	16	<p>- Continue to develop skills and expertise across the wider electoral services team including completion of formal training & qualifications - a number of staff undertaking relevant qualifications.</p> <p>- Use external or peer support where feasible e.g. from other local authorities.</p> <p>- Consider training/up-skilling a pool of contingency staff.</p> <p>- Keep under review staffing skills and expertise within the team and more widely</p>	4	3	12	EBS now proposing to address in summer recess Mitigation in place for 2hr callout until works can be undertaken..	Miranda Cannon	31.01.2019 Ongoing

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What is the issue:												
what is the root cause/												
problem – what could go wrong			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>18. Delivery, Communications and Political Governance - LEGAL CHALLENGES PARTICULARLY RELATED TO PSED/CONSULTATION/EMPLOYMENT</p> <p>Consultation approach and EIAs are increasingly targeted areas for legal challenge and increased frequency for employment tribunals particularly since abolition of fees. Increased legal challenges heighten the need to ensure that processes are followed by staff:</p> <p>Risk: Ineffective and inefficient processes and managers do not follow explicit guidance. Efficient/effective processes are not communicated in a uniform manner</p>	<ul style="list-style-type: none"> - Communications are not appropriate (present the right information, performed in a uniform manner, not consistently worded, communicated or the tone are appropriate), leading to legal challenge. - Equalities Impact Assessments cannot address all potential areas of legal challenge on Public Sector Equality Duty grounds. - Lack of legal expertise/appropriate resources. - Potential for legal challenge/judicial review by providers, staff, service users, etc. - Reputational damage/media exposure. - Unplanned adverse effect on budget/finance - Resource intensive to defend legal challenges/judicial reviews. - Unrealistic public/political expectations 	<ul style="list-style-type: none"> - Equality Impact Assessments (EIAs) are performed to help ensure the Council meets the Public Sector Equality Duty (PSED). Workshops are being planned to support those completing EIAs. Enhanced focus on governance agreed by CMT in Sept including new Governance Group who will consider equalities and risk as part of their work. - On-going reviews of outcomes of other PSED challenges inform our approach to demonstrating compliance with our PSED, and lessons from these shared / communicated and used to revise our approach where appropriate. - Expert support e.g. HR, equalities, consultation in place with supporting guidance. - EIA process (what needs to be considered when) and EIA templates regularly reviewed and revised as appropriate. Report done to CMT on review of previous EIAs and tracking of recommendations which was well received and identified areas for improvement in existing practice particularly linked to decision making. - Community engagement fund developed to support work with the VCS in support of meeting our PSED - Consultation training with a focus on the legal risks undertaken by the Comms and Equalities Teams - Equality Strategy and action plan approved by Council in June 2018 and work underway 	4	4	16	<ul style="list-style-type: none"> - Continue to review external practice e.g. from other Local Authorities and partners, which have been deemed as best practice and implement locally as appropriate. - Ensure the correct resources, with the relevant skills and experience are allocated to roles. - Ensure HR support is available. - Delivery of EIA workshops and provide further guidance/templates if appropriate/needed in light of those workshops 	4	3	12		Miranda Cannon	31.01.2019 Ongoing

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
19. Delivery, Communications and Political Governance - HR System Implementation Implementation of the new HR system goes over budget / timescales or system cannot meet requirements and fails to achieve desired outcomes and benefits	<ul style="list-style-type: none"> - Ability to deliver the core HR service is compromised - Critical data / information is lost - Statutory requirements such as HMRC and other returns cannot be achieved - Increased costs to the service including risk of fines where statutory requirements cannot be met e.g. pensions returns - Reputational damage - Pressure on staff resulting from the need to work in the absence of an effective system - Staff are not paid correctly (under or overpayments) creating additional work for Payroll and dissatisfaction amongst affected staff - Other errors occur e.g. calculation of annual leave creating additional work for BSC and dissatisfaction amongst staff/TUs 	<ul style="list-style-type: none"> - Project Manager and Project Board in place. Close involvement of key areas including ICT Procurement, BSC, ICT - Supplier has been in dialogue concerning a settlement proposal regarding what they propose to deliver/not deliver - a formal offer is still not forthcoming however. In addition the supplier has been given notice twice regarding issues relating to the live system where contractual obligations are not being met however the response from the supplier is poor and could lead to a possible breach of contract. Further actions being determined and contingency options being prepared. Andy Keeling and City Mayor briefed on the position. Close ongoing support and involvement from Legal Services and Procurement. - Recruitment removed from scope and has been re-tendered in light of failure by supplier to deliver. A supplier has been confirmed and implementation is underway (see further risk below) 	4	4	16	<ul style="list-style-type: none"> - Determine next course of action with the supplier in relation to settlement and the live system. Continue to progress contingency / business continuity options 	4	4	16		Miranda Canon	31.01.2019
20. Finance - Information and Customer Access - Cyber Security Increasing profile and expertise to circumvent established defences increase vulnerability of LCC data.	<ul style="list-style-type: none"> - Data hacked and released into public domain; - Reputational damage - seek alternative more expensive solutions; - Fines from ICO; - Staff stress increases; - Damage to identified individuals; - Denial of service 	<ul style="list-style-type: none"> - Technology defences; - Awareness campaign; - Targeted follow up's; - Built into new system standards from 3rd party applications (secure passwords, TLS); - Daily back-up of systems 	4	5	20	<ul style="list-style-type: none"> - Technology solutions, requires cost effective considerations; - Continued awareness training etc.. 	4	5	20		Alison Greenhill	31.01.2019 Ongoing

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>21. Finance - Tactical Decision Making Business solutions considered by services, which impact upon Information Services service delivery, are taken without consultation or considering the impact</p> <p style="font-size: 2em; font-weight: bold;">85</p>	<ul style="list-style-type: none"> - Increased budget pressure to implement / maintain expensive systems; - Increased pressure achieve service budget / targets; - Staff morale decreases; - Reduction in service capacity; - Breach of licences leading to fines; - Security risks of data / service; - Service support to other parts of council affected; - Internal reputational damage; 	<ul style="list-style-type: none"> - Consultation with HoS to increase knowledge and understanding of IT requirements at early stages of projects; - Create Target Operating Model (TOM); - Enforcing Digital Transformation (DT) gateway process; - Provide clear criteria for commissioning new IT solutions; - Business Continuity (BC) process includes costs to service; 	4	4	16	-Monitor effectiveness of identified mitigations to determine future actions / plan	4	4	16		Alison Greenhill	31.01.2019 Ongoing
<p>22. Finance - Financial Challenges The Council fails to respond adequately to the cuts in public sector funding over the coming year or years.</p>	<ul style="list-style-type: none"> - Council is placed in severe financial crisis. Reputational damage to the Council and substantial crisis job losses. If the process is not properly managed, the Council will have little money for anything but statutory 'demand led services' 	<ul style="list-style-type: none"> - Budget balanced in 18/19 - Further work required to balance the medium term, particularly driving the spending review programme - £6m service transformation fund 	5	4	20	<ul style="list-style-type: none"> - Heavy involvement of City Mayor and COO in ensuring spending review programme delivers. - Appropriate change management/ project management arrangements to be put in place for major review areas - Delivery of spending review 4 	5	2	10		Alison Greenhill	31/03/2019/2020 and On-going
<p>23. Finance - Corporate Fraud Failure or inability to effectively detect, prevent, investigate and deal with corporate fraud.</p>	<ul style="list-style-type: none"> - Reputational damage - Potential for losses in £millions - Investigations not effectively carried out - Fraud difficult to quantify so cannot always evidence effective outcomes 	<ul style="list-style-type: none"> - Corporate Fraud Team has accredited financial investigator - Good engagement with Police Financial Crime Unit - Recruitment to posts 	5	4	20	- Aiming to implement seconded Police officer	5	4	20		Alison Greenhill	31.01.2019

Appendix 4 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk	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 existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>24. Finance - Introduction of Universal Credit (UC) Full Service</p> <p>LEGISLATION - Transfer of Housing support from the local authority, as under Housing Benefit (HB), to DWP. Schemes are not identical and in some instances not as generous as under HB. Impacts complex to explain as some claimants will remain on HB in the interim, for periods as fixed by the DWP.</p>	<ul style="list-style-type: none"> - Rent policy and collection arrangements will be challenging (different impact to rent arrears) - Housing policies and procedures will require review - Potential need to increase allocated staff resources - Rental payments are delayed thus arrears build up leading to financial consequences for the Authority, Housing Associations & Private landlords - Financial consequences in £m - Increase to bad debt provision (Rent £2m arrears & CT £3.5m in year collection loss) - Reputational damage - Demand for Crisis Support will increase (est 200%) - Demand for Social Welfare Advice will increase (12.5%) - Demand upon Discretionary funding may exceed Government budget Allowance. - Demand for Council Tax Discretionary Relief (CTDR) support may exceed budget - Waiting and assessment periods, sanctions and compliance requirements will lead to delays in first payments and monthly reassessments of entitlement will be carried out 	<ul style="list-style-type: none"> - LCC have a UC support strategy, risk log, Equality Impact Assessments with associated comms and action plans - Housing Service are developing a UC Full Service impact strategy, reviewing and developing a Homelessness prevention policy - Housing Options are monitoring the occurrences of this phenomenon - Detailed comms and action plans have been created by both Revenues & Customer Support & Housing - Comprehensive engagement programme is in place with commissioned providers to alert them to the increase in demand. - Every commissioned service has a business continuity plan which can be deployed should demand outstrip provision. 	4	4	16	<ul style="list-style-type: none"> - Effective and repetitive communication campaign - The Council has written to DWP to raise their significant concerns regarding the impacts likely as a result of the introduction of full service Universal credit. - Social Welfare advice -discussions ongoing at the Strategic SWAP (Social Welfare Advice Partnership) group re the identification and management of demand - Recognition of increased demand for crisis support- Engagement with provider, Action Homeless, actions within their Business continuity planning. - DHP (Discretionary Housing Payments)/CTDR potential to request consideration of additional resources from Exec. - Reputational damage should be defensible as this is a DWP benefit and the local authority has no control over the timetable or administrative processes for this change. 	3	4	12	<ul style="list-style-type: none"> £2m Rent arrears £0.5m Grant loss £3.6m CT loss 	Alison Greenhill	31.01.2019 Ongoing

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>24. Finance - Introduction of Universal Credit (UC) Full Service - Continued CUSTOMER ACCESS Any claimants who do not have the educational or language skills could find it very difficult to access UC. This could be compounded by lack of access to IT to enable them to engage in the application, compliance and claim management process as required under their claimant commitment.</p>	<p>- Increased need for educational, digital & personal support - increase in Stress Action Plans and associated resources to support staff, - increase in staff absence - Stress action plans - especially in front of house services including libraries etc</p>	<p>- Staff resources across Housing and Finance are being reviewed and where possible expanded. - Access to digital support, education and personal support provision is being mapped, reviewed and robust Comms being developed to help mitigate impacts and also support customers to satisfy claimant commitment criteria</p>										
<p>25. Finance- BSC - Payroll Service -Loss, or partial loss of Payroll Application SAFE. Fragility of the software and SAFE system support resources leaves the potential for a significant number of staff to be paid incorrectly. This would mean over/under payments or in extreme cases no payment. LGPS/TPS potential non-compliance.</p>	<p>- Reputational damage - potentially huge. Noting reputational damage with Harborough DC & Leicestershire Cares - Approx. 16,500 employees, councillors and external customers not paid/incorrectly paid on a monthly basis - Requirement for emergency payments due to financial hardship - Financial compensation for bank charges imposed on employees, councillors and external customers</p>	<p>- SAFE EMS systems provided by SAFE Computing, 20 Freeschool Lane, Leicester LE1 4FY are retaining expertise from SAFE ownership - Escrow Agreement (49000) with NCC Group - Payroll Services BCP in place, lead Cory Laywood - Line by line manual checks of the payroll extracts from the SAFE system</p>	3	5	15	<p>- Occasional testing of BCP plan - Using BAU processes to deal with under or over payments - Additional checking processes before the final BACS run - Smart reporting to test for known issues</p>	3	4	12	20% of monthly net pay at £18m	Alison Greenhill	31.01.19 & ongoing

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			(See Scoring Table)				(See Scoring Table)					
What is the issue:			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>what is the root cause/</p> <p>problem – what could go wrong</p>												
<p>26. Legal - Key areas of risk are: flexible working practices which expose data to new risks, inappropriate disclosure of personal data, insecure and excessive information sharing externally and internally, lack of universal participation in Information Governance training, lack of awareness of the compliance and enabling role of Information Governance and failure to comply with the Regulation of Investigatory Powers Act 2000. (Also see corresponding risks around Data Protection and Freedom of Information compliance.)</p>	<ul style="list-style-type: none"> - Data may be lost or shared inappropriately. - Potential legal challenge. - Breaches in regulation/legislation, which may incur fines, reputational damage and negative media coverage. - Local breaches are not reported to the Information Governance Team until a complaint arises. There may be a number of unreported information governance breaches which are unreported and being managed at a local level. - Subject Access Requests: this area has failed in compliance in 2013, and could fail again in the future. 	<ul style="list-style-type: none"> - Policies and procedures in place e.g. security, retention and disposal. - Devices are encrypted. - Staff briefed on Information Governance (IG) compliance and asset mgmt. - Improvement plan identifies necessary procedural updates etc. - Good liaison with Information Commissioners Office (ICO) and increased visibility and compliance. - Regular reports to Directors on the importance of IG compliance. - Staff are required to complete IG training on induction and all staff were asked to complete training in 2013. - LCC submissions to the NHS IG Toolkit provide a health check on IG policies and systems. - Self service IG Healthcheck tool for managers has been drafted. Next stage is testing. <p>(NB staff turnover and high rates of change are increasing LCC's exposure to risk here)</p>	4	5	20	<ul style="list-style-type: none"> - Requirement for all to complete annual IG awareness training should be enforced. - Introduce a self-service IG health check for Managers to check their team's compliance and identify their own improvement actions. - IG issues to be addressed more consistently in contracts outside IT Procurement (where this is systematic). - Need for services facing high staff turnover to prioritise Data Protection and security training to maintain capability levels. <p>NB: in a changing context, controls need to evolve and be constantly refreshed to maintain the risk exposure at the current level and prevent it from increasing. Therefore, no reduction in risk exposure is anticipated.</p>	4	3	12		Kamal Adatia	31.01.2019

Appendix 4 - Leicester City Council Operational Risk Register

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			(See Scoring Table)				(See Scoring Table)						
			Impact	Likelihood	Risk		Impact	Likelihood	Risk				
STRATEGIC AREA - Education and Children's Services													
06	27. Children's Social Care and Early Help - Budget Loss and / or reduction of services to achieve budget savings	- Reduction in preventative services impacting on ability to deliver Statutory services; - Inability to deliver Placement Sufficiency; - Decrease Capacity / Increase demand; - Potential reduction of staffing levels; - Limited ability to deliver some front line services; - Potential for future claims against authority	- Transformation board oversees all budget reduction projects; - Strategic Oversight; - Clear governance arrangements	5	4	20	Star Chamber presentation re: undeliverable savings					Caroline Tote	31.01.2019
	28. Children's Social Care and Early Help - GDPR Change in Data Protection regulation (GDPR) which came into force May 2018.	- Historic breaches of information due to human error continue; - Under new regulations the size of potential fines significantly greater; - Inaccurate data within systems; - Inaccurate decisions made for service user; - Could lead to data breaches and significant fines and incorrect service provision for service user. ICO involvement	- Training cascaded across services; - Compliance monitored; - Lessons learnt have been cascaded; - Actions taken where necessary	4	4	16	Developing clear and consistent HR response. Majority of staff have completed GPDR training session. Referral paperwork (MARF) is taking GPDR into account.	5	3	15		Caroline Tote	31.01.2019

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>29. Strategic Commissioning and Business Development - Safeguarding/ teaching and learning workforce programmes are ineffective and Local Authority has insufficiently trained staff to deliver and manage the range.</p>	<p>- Stress management failings, lacks capacity and competency - Potential adverse impact on inspection outcomes.</p>	<p>- Work Life Balance policies, and supporting wellbeing website www.childrensworkforce/supporting wellbeing Learning Training & Development Plan refreshed - New department priority and focus on qualification and safeguarding training.</p>	4	4	16	<p>- Management to implement health and safety and wellbeing policies and seek advice and support to mitigate risk of undue stress in the workforce - New corporate team to actively engage in implementing workforce strategy and limited strategy and plans.</p>	4	3	12		TBC	31.01.2019

Appendix 4 - Leicester City Council Operational Risk Register

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
STRATEGIC AREA - Public Health												
30. Budget Restrictions - Funding Ongoing austerity for Public Sector requires changes to service delivery to comply with available budget, continued reductions could force termination of services to ensure priority services remain available 92	<ul style="list-style-type: none"> - Change in service provision; - Decreased / ceased service /user contact; - Decreased / ceased service effectiveness; - Reputational damage; - Increased demand on other public services (primary / secondary health care / Social Care / Leisure Centres); - Risk of missing safeguarding issues; - Impact on council statutory duties; - Judicial review; - Central government intervention 	<ul style="list-style-type: none"> - PH Return to Central Government (Return On Investment (ROI)); - Staffing restructure; - Invest to save opportunities explored; - Internal briefings / decision making process; - Political support; - Articulating associated risks; - Scrutiny; - Clinical Governance Process in place; - Monitoring to identify adverse effects 	3	5	15	<ul style="list-style-type: none"> - Continue with existing controls; - Securing additional revenue / income generation through commercial opportunities; 	3	5	15		Ivan Browne	31.01.2019
31. Budget Restrictions - Commissioning Reduced budget for services impacts on financial viability to potential 3rd party contractors who may deem package to be unsustainable.	<ul style="list-style-type: none"> - Loss of existing contractors unable to fulfil contracts within reducing financial envelope; - Inability to attract new providers during tenders; - Loss of service provision; - Impact on community who require service; - Impact on NHS as demand increases for other services; - Decreased morale; - Reputational damage to LCC 	<ul style="list-style-type: none"> - Bespoke procurement methods; - Briefing of lead members to highlight potential risks and consequences; - Internal decision making process; - Expertise within team to assess choices and inform management briefings / options appraisal; - Advocacy by Director Public Health (DPH) with national bodies; - Provider negotiations; - Working with internal departments (legal / procurement / contract management/ finance) 	4	4	16	Continue with existing controls;	4	4	16		Ivan Browne	31.01.2019

Appendix 4 - Leicester City Council Operational Risk Register

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
32. Budget - External Influences External national imperatives without associated budget introduced which will impact on local delivery 93	- Call on finances NHS pay award; - Changes in financial call due to changes in clinical requirements; - Prioritisation / decommissioning / reduction of existing service delivery model	- Internal decision making process; - Expertise within team to assess choices and inform management briefings / options appraisal; - Advocacy by Director Public Health (DPH) with national bodies;	4	4	16	- Political escalation; - Corporate responsibility; - Service & budget planning	4	4	16		Ivan Browne	31.01.2019

Appendix 4a - Leicester City Council Operational Risk Register

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Risks as at: 31/10/18

Risk	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 existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date		
What is the issue:			(See Scoring Table)	Impact	Likelihood		Risk	(See Scoring Table)	Impact				Likelihood	Risk
what is the root cause/														

Deletions

STRATEGIC AREA - Adult Social Care

<p>1. Adult Social Care & Safeguarding – Integration agenda/STP. Risks associated with large programme of change in challenging financial context.</p>	<p>– Failure against national commitments on integration – Services are not aligned – Financial risk – Conflict between priorities of organisations – Transformation programme targets are not met</p>	<p>– High visibility at partnership forums – Support to frontline staff to maintain operational relationship management – Communication strategy for transformation in context of integration includes partners.</p>	4	4	16	<p>– Establish clear partnership arrangement to agree and deliver Integrated Care in Leicester – Maximise Better Care Fund (BCF) opportunity.</p>	3	3	9		Ruth Lake	31.10.2018 Ongoing
<p>2. Adult Social Care & Safeguarding – Failure to meet statutory need; keeping people safe in difficult financial climate; complexities with funding arrangement; integration and pooled budgets – risk of inadequate resources to meet need</p>	<p>– ASC overspends – Insufficient resources to meet need – Vulnerable people not receiving sufficient care packages resulting in legal challenge and increase in complaints.</p>	<p>– Robust mechanisms (such as revised Resource Allocation System) to ensure resources proportionate matched to eligible needs to protect funding – Budget monitoring – Demand monitoring – Use of BCF and iBCF programme to plan for new funding arrangements and requirements.</p>	3	5	15	<p>– Further work on BCF to protect social care services and promote efficiencies across the Health & Social Care system – Work to review packages of care to maximise resources for those at greatest need – Delivery plan now in place to be progressed over 16/17 – Maximise income and debt recovery through work with operational finance / legal</p>	3	3	9		Ruth Lake	31.10.2018 Ongoing
<p>3. Care Services & Commissioning (ASC) – Spending Review 4 2019/20. Review of Independent Living services (ILS) part of £5.5m ASC savings Failure to carry out effective statutory consultation will result in financial and reputational damage to the council.</p>	<p>– Council could face legal challenge through judicial review.</p>	<p>– Consultations being run as a dedicated project overseen by a senior manager with some temporary additional resource – Ensure time is built into each review. – development of all strategies etc. to allow for consultation.</p>	5	4	20	<p>– Stakeholder engagement strategy in place and we always seek advice from legal services and corporate consultation team – Legal services sign off all consultation materials and agree the approach and methodology – Officers to seek guidance from the corporate consultation team when needed</p>	4	3	12	A JR legal challenge could cost the authority several millions if the methodology used by the Council is not robust.	Tracie Rees	31.10.2018 Ongoing

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
4. Care Services & Commissioning (ASC) – Quality of care in the Independent regulated services including; residential homes, domiciliary care and supported living providers falls below standards	– Detriment (harm) to individuals, groups or the Council (financial or reputational)	– High level Audit processes in places via Adult Social Care contracts and assurance team (This is in addition to Care Quality Commission inspections) – Introduction of the MAIPP process /weekly internal information sharing with the Providers.	5	4	20	– Quality Assurance Framework to be used to support identified failing providers. – Risk Management process in place to identify appropriate action to be taken in the event of failing providers.	5	3	15		Tracie Rees	31.10.2018 Ongoing
5. Care Services & Commissioning (ASC) – Implementation of the Sustainability and Transformation Plan (STP)	– Financial impact/legal challenge	– An LLR Programme Board has been established that includes health and social care chief officers	5	4	20	– An LLR Programme Board has been established that includes health and social care chief officers	3	3	9		Tracie Rees	01.01.2019
6. Care Services & Commissioning (ASC) – Extra Care and Supported Living Developments; Impact of the loss of exemption from the Local Housing Allowance (LHA) for this type of provision.	– Inability to develop extra care and supported housing as the market unable to make sure developments viable as a result of this exemption.	– Government has confirmed that LHA cap will not be applied. Awaiting government announcement on funding consultation . Discussion with the market	4	4	16	– To explore options to develop options not reliant on the LHA cap	4	3	12	Loss of capital funds for ASC developments	Tracie Rees	31.10.2018 Ongoing
9. Care Services & Commissioning (ASC) – Non compliance with our duties under the Equalities Act; Failure to adequately identify and address (where possible) equality impacts of proposed actions.	– Council could face legal challenge through judicial review	– Equality impact assessments (EIA) are built into service reviews, strategy developments and decision making which help to identify equality impacts and actions to be taken.	5	3	15	– Ensure all staff are fully aware of when to use EIA's and build this into their routine work (when necessary) – Training to be offered through Better Care Together.	5	2	10	Pot Multi £M	Tracie Rees	31.10.2018 Ongoing
STRATEGIC AREA - City Development and Neighbourhoods												
10. Estates & Building Services – Delay and compensation event claims are received leading to extensive costs.	– Contingency held to address unforeseen issues may be overspent	– All claims are monitored and are challenged using internal and external resources – Continued dialogue with the Finance Team to monitor the financial position.	5	4	20	– Claims have to date been contained within budget with 1 final claim to resolve	4	3	12	Contingency provision is over-subscribed	Matt Wallace	31.10.2018 Ongoing

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>11. Estates & Building Services –BSFSnag /- Defect Programme –Schools currently have outstanding construction matters which prohibit the issuing of completion certificates-</p>	<p>-LCC exposed to risk of system failure or litigation -Delay in programme delivery</p>	<p>Construction phase complete. The programme in now dealing closure of outstanding contractual snag, defects and claims. Internal team established split in three work-streams managed by SA: 1 – Contractual engagement on snags and defects 2 – Delivery of LCC step in actions 3 – EOT contractual claims. External resource provided by MACE to enable delivery of the programme</p>	5	4	20	- Additional external support being sought via Arcadis to enable the close of contracts	4	2	8	Delay in delivery	Matt Wallace	31.10.2018 Ongoing
<p>12. Estates & Building Services Schools- Capital – Raising educational achievement.– Reduction in capital investment in schools with ageing school stock and deteriorating condition</p>	<p>-Potential to not meet statutory building requirements. -Reputational damage to the council</p>	<p>-Develop long term strategy across both the Primary and retained Secondary School estate</p>	4	4	16	-Condition surveys undertaken and a 1-year programme of planned capital maintenance has been formulated.– CMB final approval received Sept 2016. The next phases of the proposed capital maintenance programme will be reviewed on an annual basis in accordance with priority/need allowing for flexibility within the programme. -CCMP2 to be submitted to CM in summer 2017	3	4	12	Staff time-	Matt Wallace	31.10.2018 Ongoing
<p>13. Estates & Building Services – Lift Condition Assessment – Asset Capture, Lack of forward planning in terms of planned maintenance and programming change of assets</p>	<p>-Continued failure of assets –run to failure -ad hoc capital required to make good -less reliable assets and more entrapments. -Lift users may be compromised in terms of access/egress/mobility – as per the Beatty Ave experience</p>	<p>-Formatting a proposed capital programme of works, based on engineers submissions (Zurich and LES) will be ready in December 2015 -Lack of internal staffing resource and excessive external consultative cost are prohibiting progress</p>	3	5	15	Lift surveys to be undertaken prior to March 2017-	2	5	10	50K to undertake surveys by framework consultant	Matt Wallace	31.10.2018 Ongoing

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
14. Estates & Building Services – Loss of use of Asset – Unsafe asbestos particles found	– Closure of buildings	– Findings of asbestos action plan being implemented. – Asbestos monitoring returns to be reported to DivMT and Heads of Property quarterly and to CMT if cause for concern. – All buildings constructed before 2000 have an asbestos register.	5	3	15	– The centralisation of property management functions will enable EBS to mitigate risk identified on management plans – Ensure all buildings have an asbestos register.	3	2	6	Staff time	Matt Wallace	31.10.2018 Ongoing
15. Estates & Building Services – Loss of use of Asset – Fail to maintain Water Hygiene	– Closure of buildings	– Implementation of control regime comprising ongoing regular monitoring, reports, risk assessment reviews and maintenance with allocated budgets – Water hygiene monitoring returns to be reported to DivMT and Heads of Property Quarterly and to CMT if cause for concern – Spend of allocated capital budget for water hygiene and production of ongoing prioritised schedule of risk reduction/removal works ongoing – Water hygiene responsibilities in non-op estate (apart from communal areas) have been confirmed in the terms and conditions of the lease and necessary action taken	5	3	15	– Seek 100% compliance with water hygiene returns with accurate data. – Further budget for 17/18 works to be in next Capital Bid report – More rigorous audit of Building Responsible Officer monitoring to be undertaken	3	2	6		Matt Wallace	31.10.2018 Ongoing
16. Housing – Risk of Legal challenge, liability and reputational consequence if properties are not adequately maintained. Greater financial investment needed in the future. Rent reduction of 1% per annum for next 4 years will threaten budget for maintenance and capital investment.	– Poor living conditions – H&S risks to tenants – properties falling into disrepair – Reputational risk	– On-going capital investment (25 year strategy and planned maintenance programmes) – On-going day to day responsive repairs service. – Minimum standard for property re-letting: – In house Quality Control team. – Policies and procedures in place to ensure we continue to be compliant with legislation e.g. for fire safety, water hygiene, asbestos removal – Continue to review more effective ways of maintaining the stock.	5	3	15	– Identification of fixed costs required to ensure compliance with legislation and to ensure these funding is available for these is future budgets	5	2	10	At current rates we need a minimum spend of £13m to ensure ongoing compliance with legislation.	Chris Burgin	31.10.2018 Ongoing
STRATEGIC AREA - Corporate Resources and Support												
30. Finance – Information and Customer Access The Council is at constant threat from malicious hacking or human error.	– Loss of data or information – Loss of access to systems and services – Council-wide impact – Potential fines, litigation,	– Ensure adequate technology is in place to protect the authority – AlienVault Logging procured. – Raise staff awareness – Testing procedures	5	5	25	– Targeted Phishing – Promote Human Firewall awareness – Implement further defences – Consider draconian response to threats	4	3	12		Alison Greenhill	31.10.2018 Ongoing

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
STRATEGIC AREA - Education and Children's Services												
<p>36. Children's Social Care and Early Help- Improvement - Changing for the better LCCIB Improvement Plan -Budget Pressures on the divisional budget</p>	<p>-Services to vulnerable children, young people and families would be reduced and affect safeguarding of children, and potentially have an adverse impact on delivering the Leicester City Council Improvement Plan -Further pressures on the service regarding the admin business support review</p>	<p>-Deliver savings as part of the reviews taking place across LCC, including Education & Children's with clear explanations of the potential risks and impact -Deliver savings to meet the budget pressure within the CYPF Division-</p>	5	4	20	<p>-Identify further projects to ensure delivery of savings, assess impact</p>	4	4	16		Caroline Tote	31.10.2018
<p>Requirements to reduce public sector funding affect the Council's ability to fund key areas of improvement work</p>	<p>-Workforce continues to be in flux and subject to high turnover, which impairs consistent service and increases risks for vulnerable children and young people.- -Insufficient funding in local authority and partner services to deliver improvement work and maintain level of Early Help (Early Help) and statutory services.-</p>	<p>-Proposed savings in EH services are being implemented and will be achieved by April 2018. - Impact on services to Children young people and families continues to be assessed as part of savings proposals. Pressures on the Out of Authority placement and increase in LAC numbers beyond allocated budget. -The Single Assessment team will need to be funded from the existing budget to consider how existing services can be remodelled.</p>	5	4	20	<p>-Further consideration of other identified improvement areas to be discussed.- -Further areas of the Resource Plan under consideration - -Development of the edge of care panel and the permanent progression panel</p>	4	4	16		Caroline Tote	31.10.2018
<p>Increase in number of children looked after results in overspend, compensatory savings have to be made in other services</p>	<p>-Reduced EH Services, resulting in less early intervention and higher numbers of children and families escalating to higher levels of need, putting additional strain on Children's Social Care budget.- -The consequence of increased LAC is that the dept. budget for 2017/2018 will be exceeded</p>	<p>-Targeted work to safely and appropriately reduce the numbers of children in care and monitor the numbers of children requiring high cost externally commissioned placements - -Further work to be carried out to consider future commissioning arrangements for young people who are victims of CSE.-</p>	5	4	20	<p>-Examination of existing controls, including social work practice, decision making, work to address young people on the 'edge of care', placement commissioning and exits from care.- -An equality impact assessment will be updated an inform a scrutiny report for consideration in March/April 2018.</p>	4	4	16		Caroline Tote	31.10.2018

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what 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 existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
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Cost of agency social workers, including staffing over capacity, and interim staff working on improvements results in overspend, compensatory savings have to be made in other services.	-Increase in overspend, due to the higher costs of agency workers; and additional staff to carry out improvement work, reduce caseloads and ensure capacity to carry out key jobs is in place	-Workforce Strategy sets out plans to attract permanent staff to Leicester and retain incoming and existing staff. Strategy includes progression and workforce development -Regular monitoring of staff appointments to agency posts.	5	4	20	-Continued work on recruitment, retention and induction -Focus on recruitment of permanent Team Managers -WFD Strategy work has slowed down, needs to be picked up again.	4	4	16		Caroline Tote	31.10.2018
Permanent staff absence (sick leave, maternity leave, disciplinary action) results in higher costs because of the need to pay agency worker	-Regular monitoring of staff performance, and absence.	-Continuing to take a robust approach to managing staff absence and reduce the amount of time that is lost due to sickness.	4	4	16	-TM training is being delivered to ensure expectations are clear	4	4	16		Caroline Tote	31.10.2018
Staff leave, resulting in the need to fill posts with agency workers	-Additional expenditure on agency staff -Loss of experience and continuity.	-Workforce Strategy developed and being implemented -Use of agency staff to fill vacant positions while permanent recruitment takes place -National and regional problem of availability of experienced social workers and Team Managers is impacting on LCC.	4	4	16	-Ensure progression in place for experienced workers following appointment of new Team Managers -Individual discussions with staff wanting to progress, or dissuade them from leaving.	4	4	16		Caroline Tote	31.10.2018
37. Children's Social Care and Early Help – Safeguarding Publication of Serious Case Reviews for cases that occurred in 2013/14 and case that led to a SILP in 2107/18	-Impact on staff morale, engagement with vulnerable families, partner confidence and public reputation	-Two Serious Case Reviews have now been published with clear arrangements in relation to media engagement about the messages to be released. Themes and actions arising from pre-publication messages already included in Improvement Plan, or being communicated separately to staff. Composite review in relation to three babies has not yet been published due to ongoing police investigations, media planning meeting taking place at the end of August. A further SCR has also been commissioned and agency Independent Management Review's are being progressed.	5	4	20	-Work through Local Safeguarding Children's Board groups to disseminate messages from the Serious Case Reviews. -Approach agreed for coroners inquest in August 2017	5	4	20		Caroline Tote	31.10.2018
Abuse or injury to children in a range of care placements	-Children would be unsafe and have experienced significant harm while in the Council's care.	-Ensure maintenance of robust safer recruitment processes and Local Authority Designated Officer arrangements.	5	4	20	-No further controls identified. -Compile and monitor critical Young people identified as being at risk of CSE	5	4	20		Caroline Tote	31.10.2018

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
Abuse or injury to children and young people in the City.	-Children would be unsafe living with their parents. Where known to Children's Social Care or Early Help, services would not have protected them. -Where a child suffered significant harm or death, there could be a Serious Case Review, with outcomes published nationally.	-A framework is ensuring compliance is adhered to	3	5	15						Caroline Tote	31.10.2018
33 Children's Social Care and Early Help – Workforce – Staff fail to recognise and act to safeguard and mitigate the risks of significant harm to children -Insufficient high quality workforce at practitioner and manager levels including: • Turnover/retention of agency staff • Poor quality agency staff • Current Permanent staff leaving • Difficulty in recruiting permanent staff to Service Manager, Team Manager and Social Worker posts due to pressure to perform to required standards • Practical problems that affect day to day work • Leicester not able to attract staff while 'inadequate'	-De-stabilisation of workforce and a ripple effect from CIN Teams to other teams in social care. -New agency staff struggle to pick up cases that have been through several interim social workers causes stress to new staff	-Retention package has been approved -Workforce Improvement Plan in place -Implementation of recruitment and retention aspects of the Workforce Strategy and Improvement Plan -Health check by Liquid Logic Original Suppliers -Contact with Other LAs successfully using Liquid Logic -Non-compliant or poor quality agency staff asked to leave -Capability/disciplinary action in relation to permanent staff -Exit interviews with departing staff -SAT implemented June 2016. -Principal Social Worker in post April 2016.	5	4	20	-Continued work to implement Service Standards, address key areas of staff performance through management action, follow up findings from Performance and Quality Assurance reports-	4	4	16		Caroline Tote	31.10.2018
Insufficient high quality workforce in support services resulting in key support functions not being carried out including Business Support, Liquid Logic report writing, Liquid Logic training and floor walking-	-Key tasks underpinning Improvement Plan not carried out, or delayed due to lack of staff	-Continued recruitment of key staff including consideration of secondments -Business Analysis undertaken of the admin support functions -Roll out of mobile technology to staff	5	4	20	Admin review completed and findings to be provided in September 2017	4	4	16		Caroline Tote	31.10.2018

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102 39. Children's Social Care and Early Help – Early Help – Failure of services and processes to identify and meet the needs of vulnerable young people. – Extent and gearing of department budget cuts from April 17 onwards compromises operations and generates a higher safeguarding failure.	–The number of children and young people vulnerable to poor outcomes increases –resulting in reduced life chances, subsequent high reliance on specialist high cost services and potentially death. –Poorer outcomes overall, children's plans priorities compromised, loss of education, reliance on higher cost services, death etc. –Reduced management and admin cover will reduce the capacity of existing staff to complete the data analysis required to identify and track families/children at risk of poor outcomes. –Partners are not engaged with Early Help or contribute to the offer. –EH staff start to look for alternative employment leaving a gap in service to meet demand.	–Review underway.	5	4	20	–Analyse consultation findings as they come in to asses impact and risk and report to DCS.	4	4	16		Caroline Tote	31.10.2018
40. Children's Social Care and Early Help – Placements for children and young people who are looked after Inability to recruit and retain foster carers	–Insufficient internal foster care placements leading to greater use of Independent Fostering Agencies and greater cost to the Council.	–Targeting resources to focus on mainstream foster carers –Foster carer allowances report to be considered by DMT to review payment –Foster carer scheme for teenagers to be considered as part of an 'invest to save' bid.	4	4	16	–Consideration of raising foster care allowances to national requirement –Consideration of teenage fostering scheme.	3	4	12		Caroline Tote	31.10.2018
Inability to find sufficient suitable residential placements for children and young people with complex needs	–Insufficient/unsuitable residential care that does not meet children and young people's needs and leads to higher costs for the council and poor outcomes for children and young people. –Council's statutory responsibilities as a Corporate Parent are not fulfilled	–Management decision making. Placement Commissioning service –Implementation of a placement planning process for sibling groups and complex cases –Wigston Lane used to consider young people moving into independence	4	4	16	–Use to be monitored and reviewed in the next quarter.	3	4	12		Caroline Tote	31.10.2018

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41. Learning Services – Funding reduction leading to inadequate school improvement capacity From 2018/19 funding to support monitoring and intervention in maintained schools will reduce from £1.3m to around £300k.	– Significant increases in schools rated RI and Inadequate – Reputational damage for the council with key stakeholder E.g. Ofsted, RSC	– Seeking to develop school-led capacity through SISS, LESP and SSIF	4	4	16	Seeking to leverage de-delegated funding to smooth transition to school-led system. Look at opportunities to trade more services to schools both inside and outside the City	4	3	12		Paul Tinsley	31.10.2018
42. Learning Services – Insufficient school places for 2017/18 and 2018/19 Increased demand due to demographic changes (G) Demisation and legislation changes affecting statutory powers to create new capacity Loss of commitment by schools to expansions Failure of new free schools to open when needed Insufficient capacity to provide places for all pupils with an EHCP	– Statutory duty to allocate places is not met – Potential for safeguarding issue – Reputational damage	Temporary accommodation in place at six secondary schools. Permanent expansion schemes in development at nine schools. Pressure on DfE to deliver approved free schools in 2018, 2019 and 2020. – Sites being identified for temporary openings. – Paper being submitted on creation of additional SEND places	4	4	16	Additional pressure may be needed with DfE. – Further paper to be taken to Exec Board around sufficiency planning longer term for SEND places	4	2	8		Paul Tinsley	31.10.2018

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STRATEGIC AREA - Public Health												
<p>44. Public Health-Claiming Process for GP Providers – The clinical systems used by GP providers to claim payment for public health commissioned services are insufficiently robust to ensure payment accuracy.</p>	<p>–Loss of confidence of GP Providers in payment structure –Risk of overpayment or underpayment by Public Health which would need to be rectified at a later date</p>	<p>–Alternative spread-sheet based payment claim-system has been introduced –Working with contracts team and CCG to provide a verification system for claims –External audit of clinical services delivered by GP Practices underway for the NHS Health Check Programme –Procurement of integrated audit and payment module failed due to lack of provider bids.</p>	4	5	20	<p>UPDATE 01-08-18: As noted below, once the IT solution is in place this issue will be resolved. Until it is fully operational, CaAs will continue to monitor and resolve any discrepancies between the submissions from GPs and the data taken from System One.</p> <p>UPDATE 11-06-18: It is anticipated that, as the new IT system draws data directly from the clinical system used by GPs (SystemOne and 1 instance of EMIS) that payments will be made in</p>	4	4	16		Ruth Tennant	31.10.18
<p>46. Public Health – Data Access and Sharing Insufficient and inadequate data for PH function</p> <p>1) Access issues to hospital inpatient data (SUS and HES) – access to HES resolved, currently developing SLA to access SUS 2) No data access agreement with CSU (Mids and Lanes) for access to CCG data –no data from SystemOne to support PH commissioned services, performance indicators and PH surveillance function.</p>	<p>–If unresolved only able to offer a limited services in terms of core offer and other analyses required UPDATE: 25.04.17: –The Public health Team has recently been made aware that no data can be received from the CCG, as the current agreement between the CCG and Leicester City GPs has lapsed, as of 31.03.17. As such, no monthly data is being received for any of the Community Based Services (CBS) that the Public health team commission. –Update 08.01.2018 – CCG have provided NHS health check data for 2017/18 Q1 and Q2 from SystemOne (S1). SP and HR working with CCG to understand the differences in counts of Health checks provided by GPs and S1.</p>	<p>– Application for SUS inpatient/outpatient/A&E data has been approved by NHS Digital. HR working with Midlands and Lancashire CSU and Leicester City CCG to develop SLA to access SUS data. b) application in progress for access to HES (HDS online system) via NHS Digital –Julie /Steve Petrie progressing data access agreement with CCG / CSU to enable regular data flows to support PH commissioned services, performance indicators and PH Surveillance function.</p>	5	4	20	<p>Update 01/08/2018: 1a Application for SUS inpatient/outpatient/A&E data has been approved by NHS Digital. HR working with Midlands and Lancashire CSU and Leicester City CCG to develop SLA to access SUS data. b) application for access to HES (HDS online system) via NHS Digital has been approved and training completed. Now have access to national HES datasets including inpatient, outpatient and A&E</p> <p>2) Julie /Steve Petrie progressing data access agreement with CCG / CSU to enable regular data flows to support PH commissioned services, performance indicators and PH Surveillance function.</p> <p>Update 01-08-18: The data agreement has been sent to CCG previously, but with focus shifting to the procurement and implementation of the IT solution, coupled with the difficulties in progressing this with the CCG due to IG issues and the liaison at the CCG on long term sickness absence, this has not moved forward. However, a new member of staff at the CCG is now picking this up (Mayur Patel) and a discussion took place on 26.07.18 to look to begin to progress this in tandem</p>	4	3	12		Ruth Tennant	31.10.18

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46. Public Health – Building not ready in time by lease finish on 31st Dec 2018	Difficulty providing service without accommodation, patients presenting at GPs, untreated STIs, reputational risk	Strategic Board set up that will report to DMT, Capital Board and LM progress of the project and any risks	4	4	16	Update 01/08/2018 Time scales for delivery of project remain challenging Risk assessment to be undertaken, contingency plan to be drawn up with alternative accommodation.	4	4	16		Ruth Tennant	2019
47. Public Health – Accommodation project; Risk that landlord will not approve of the proposals for building, risk that costs of refurbishment exceed contingency and capital budget	No building available, savings not achieved, service interruption	Frank discussions with landlord and site of plans at an early stage, Clear feasibility study and costs including contingencies, project management plan	4	4	16	Update 01/08/2018 Landlord approval for works secured work starting on the refurbishment this week. Robust project management in place to monitor spend. Plans to go to landlord 27th October, Feasibility to include contingency funding, planning approval to be sought prior to Christmas	4	3	12		Ruth Tennant	2019
48. Public Health – Substance Misuse Commissioning and contract management As a consequence of the ASC review there is potential for reduction in capacity and capability in commissioning and contract management relating to substance misuse treatment services. There has been a reduction in the number of staff and currently there is no identified commissioner for these services (Note total contract value of these services is in excess of £4 million). In addition there will be a significant loss of organisational memory as staff previously employed in this area have moved to other areas.	Insufficient performance and contract management of contract to assure the DPH that the services provided are clinically safe Inpatient specialist detox services are due to be recommissioned and currently there is not a commissioner identified to lead this Loss of specialist expertise in substance misuse poses a risk to future commissioning, quality assurance and clinical governance	Clarify with ASC Head of commissioning arrangements, immediate mitigation and long term plans to manage commissioning, contract management and performance management of substance misuse contracts	4	4	16	Appointments now made	3	2	6		Ruth Tennant	31.10.18

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<p>49. Public Health – SPENDING REVIEW- HEALTHY CHILD PROGRAMME- COMMISSIONING- In order to meet PH savings target money needs to be removed from the current 0-19 Healthy Child Programme (Healthy Together) contract at 19/20 (the first +1). Any money removed from a contract must be agreed with the provider (LPT), if an agreement fails to be reached, this could trigger an early recommissioning process. There is a substantial risk that, should LCC be required to re-commission early, no suitable alternative provider would be secured. The same risk applies to a Traded offer approach to the school</p>	<p>This could result in a break down in the relationship with LPT (current provider), it could result in LCC having no provider for 0-19HCP which would present a significant risk for harm to children aged 0-19 in Leicester.</p>	<p>05.01.18: regular meetings within LCC, regular meeting with LPT</p>	4	4	16	05.01.18: None at this stage				33.6 million	Ruth Tennant	31.10.18
<p>50. Sexual Health Services Review Failure to meet savings target set for Sexual Health Services Review. This may be as a result of not receiving executive approval for the proposals and/or the proposals do not realise the predicted savings.</p>	<p>- Failure to deliver savings will place cost pressures on other parts of the PH budget or wider council budget if savings have to be found in other areas</p>	<p>-Proposals robustly costed-</p>	3	5	15	<p>-Close monitoring of contract, budget and accommodation project to ensure maximum savings delivered -Ensure decision makers are well briefed to allow them to feel confident in making difficult decisions</p>	2	5	10		Ruth Tennant	30.09.18
Amendments												
STRATEGIC AREA - Adult Social Care												
<p>1. Care Services & Commissioning (ASC) - Budget - Compliance <u>Lack of budget / resources to comply with changes in DOLs legislation</u></p>	<p><u>- DOLs assessments not carried out;</u> <u>- potential for individuals DOL and claims against LCC</u></p>	<p><u>- copy from existing - removing fully staffed;</u> <u>- Use of form 3b;</u> <u>- Development of internal staff (Social workers - BIA)</u></p>	4	4	16	<p><u>Report to Exec - seeking additional funding. 12month funding.</u></p>	4	3	12		Tracie Rees	31.01.2018 Ongoing

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107	<p>3. Care Services & Commissioning (ASC) - Mental Health - Statutory Duty LCC is legally obliged under the Mental Health Act (MHA) to provide 24/7 service</p>	<p>- Risk of harm to, or by, mentally ill person - Breach of compliance and possible fines - Reputational damage - Impact on morale and stress if staff working outside hours - Increased staff turnover leads to immediate resource issues; also recruitment and training requirement - potential delays and can increase working hours. - Not meeting MHA legislation - Potential delays and can increase working hours.</p>	<p>- 24/7 rota reviewed with AMPs and Unions and due for implementations shortly; - using non-AMPs for appropriate functions</p>	4	4	16	<p>Management support to AMHPs; - continue to consider options for recruitment, Continue to escalate Formal review of rota across 24/7 commencing with AMHPs and unions on 10.04.2018</p>	4	3	12		Tracie Rees	31.01.2019 Ongoing
	<p>7. Neighbourhood and Environmental Services - BEAUMONT PARK DEPOT Condition of depot creating risks to service delivery, individuals working on site and visitors, situation identified in H&S report in 2011.</p>	<p>- Serious accident injury and or death to staff/member of public. - Reputational damage to LCC. - Insurance claims against the Council. - Legal challenge. - Media exposure. - Adverse effect on budget/finances. - Closure of premises, loss of service. - Breaches in legislation and/or non-compliance. - Demand led services may not be met.</p>	<p>- On going review of depot in-house Business Change Manager facilitating with E&B. Undertaking options appraisal with input from Legal, Planning and Highways. - Building conditional surveys reviewed under the TNS Programme. - Agreed to manage outside of Depot review with separate budget allocation. - Dedicated Banksman employed to manage traffic movement on site. - All staff trained in banksman duty of care. - H&S team undertake review of short term safety measures for pedestrians and vehicles on site.</p>	5	4	20	<p>Building reviewed under Depot review part of Technical Services Board. Looking at options to extend footprint to allow more space required for scale of operations and introduce a one way system for access and egress. Flagged as a Department issue through to Strategic Director. No budget allocated to project, Director NES and P&OS HOS requested priority vehicle access works as part of Depot £1m project at meeting with Director E&B 10 May 2018. <u>Still no agreed action to resolve. Site visit undertaken 26 September 2018 with H&S Manager to review and recommendations provided to Strategic Director. Agreed operational actions completed. Excerpt of Risk Register sent to Strategic Director.</u></p>	5	2	10	Unknown at present	NES: John Leach/ Stewart Doughty EBS/CDN: Matt Wallace and Phil Coyne	04/08/2018 01/04/2019 31.03.2019

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8. Neighbourhood and Environmental Services - LACK OF ADEQUATE RESOURCE CAPACITY Increase in the demand led services, along with the reduction in head count could mean that there are insufficient resources to deliver the required service levels. During times of change, staff are not always aware of the changes being made, resulting in confusion etc.	- Teams already at a minimum and extra workloads are unsustainable. - As demand-led services increase, workload and public expectations increase. - Likelihood of key person dependency as teams reduce further (fewer people in key roles). - Potential risk of non-compliance or breaches/lack of a substantial control environment. - Service delivery requirements not met. - Staff wellbeing may be harmed. - Reputational damage may result from unplanned building closures due to staff shortages.	- Existing prioritisation arrangements are in place. - Policies and procedures are in place. - Processes are in place. - Regular briefings and PDRs - Organisational review consultation process.	4	4	16	- Review of succession planning is to be conducted. - Need to assess the service demand against the resource availability to understand impacts and generate action plans. - Develop further prioritisation arrangements. - Continually assess through performance appraisals and individuals one-to-ones. - Need to plan work rather than be reactive, put in place "response times" for undertaking work.	3	4	12	N/A	John Leach	31.01.2019 Ongoing
			108									
9. Neighbourhood and Environmental Services - REDUCTION IN INCOME GENERATION PROGRAMMES With reductions in public demand in Building Control and Pest Control income generated by the Council may be significantly reduced and income generation/revenue targets may not be met. Also, 'one off' income programmes are set as recurring within the budgets/accounts; impacting further on future financial targets. Competition from competitors e.g., Crematorium.	- Budgets are not adhered to. - Income streams continue to reduce (e.g. Building Regs) due to the economic climate. - Targets remain the same or increase, against income sources and staff reductions. - One off income is disclosed as recurring, increasing the savings gap. - Internal recharges, e.g. for community space, will reduce as services reorganise.	- Budgets are in place and alternative savings option appraisals are performed and saving plans are implemented. - Policies and procedures are in place. - Adhoc business development arrangements are in place. - An agreement is in place for withdrawal of internal services from community settings under the TNS programme.	3	5	15	- Need to review income targets for recurring and 'one off' income with finance to resolve on-going issues. - Enhance the business development resources/opportunity. - Budget strategy review. - Service review/impacts. - Further marketing and promotional projects. - Exec briefing paper on Bereavement Services F&C options. - Larger shared service for Building Control - Roman developing assessment re feasibility.	3	4	12	N/A	John Leach	31.01.2019 Ongoing

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
10. Neighbourhood and Environmental Services - RESOURCE & CAPACITY - INCREASED WORKFORCE AGE PROFILE Specialist skills and knowledge within the team may be lost due to future retirement programmes. Furthermore, national surveys have identified a lack of aspiration in individuals (younger generation, female workforce and some ethnicities) wishing to join the Council within these roles.	- Teams already at a minimum number and extra workloads may be unsustainable. - Likelihood of key person dependency as teams reduce further (fewer people in key roles). - Potential non-compliance with legislation/regulation. - Potential stress-related absence/claims. - Quality of service delivery may be affected.	- "Step up" - work experience utilise - Graduate project officers. - Training & Mentoring - Knowledge sharing - Apprenticeship Levy - Leicester Environmental Volunteer scheme - PDR's, identify training and skills gaps and needs	3	5	15	- Succession planning review is required. - Continue to enhance and develop the apprenticeship scheme. - Commence positive promotion of the work/career in this area. - Seek funding for apprenticeship. - Ensure knowledge sharing takes place. - Training/ Mentoring/ Structuring.	3	4	12	N/A	John Leach	<u>31.01.2019</u> <u>Ongoing</u>
11. Neighbourhood and Environmental Services - ASSET CONDITION Condition of buildings creating risks to service delivery and individuals (in certain circumstances)	- Building/service closures - Insurance claims against the council - Reputational damage to LCC	- On going review and inspection of building in-house and is liaison with Property services - Building conditional surveys reviewed under the Transforming Neighbourhood Services Programme (TNS)	5	3	15	- Building reviewed under TNS - Condition surveys commissioned and review to address key issues	3	3	9		John Leach	<u>31.01.2019</u> <u>Ongoing</u>
12. Planning and Transportation - Transport Strategy -Tackling Nitrogen Dioxide and other air pollutants	- Ongoing poor air quality contributing to ill health and death of Leicester population. - Possibility of fines if remain in the EU or from government if not. - Poor reputation of Leicester as a city to work, live or visit. - Failure to meet government air quality mandating requirements.	- Air Quality Action Plan	5	3	15	Air Quality Action Plan Board in place and action plan is being delivered. CAZ agreement with bus operators to signed. Defra funding secured for Feasibility Study to assess AQ intervention options. £16m ERDF Low Carbon bid pending. Ongoing Transforming Cities bid has potential to offset & possibly exceed ERDF delivery. <u>Successful Transforming Cities bid likely to exceed ERDF delivery. DfT inception meeting 9/11/18.</u>	4	3	12		Andrew L Smith	<u>31.01.2019</u> <u>Ongoing</u>

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Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what 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 existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)	(See Scoring Table)	(See Scoring Table)		(See Scoring Table)	(See Scoring Table)	(See Scoring Table)			
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>13. Tourism, Culture & Investment - Markets Risk relating to trader attrition and inability to attract new traders particularly during the market improvement works</p>	<p>- Trader occupancy rates currently sit at 53% average. This is due, it is felt, to the ongoing improvement works taking place in the area and the general malaise in city centre retail. - Ongoing regeneration in the Market will, it is hoped, halt the reduction in traders</p>	<p><u>- The new screen will be potentially completed on 02/19 and will be used to attract footfall to the area to encourage sales. Improvement work to the Market is on going, but expected to start 10/2018.</u></p>	4	4	16	<p><u>Actions to be taken. Review and analysis of market traders likelihood to leave the market undertaken and can be provided as evidence</u> <u>Carry out revised regeneration works and encourage specific commodities</u></p>	3	3	9	nil	Mike Dalzell	<u>31.01.2019</u> <u>Ongoing</u>

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
14. Tourism, Culture & Investment - Markets The prevalence of incidents of anti-social behaviour in and around the Market area	- Public and Traders cease to use the Market because of the prevalence of ASB issues	- Inspectors regularly patrol	4	4	16	Market rules are complemented with zero tolerance. Security staff are engaged. Make frequent Police Patrols	2	3	6	£30,000 pa	Mike Dalzell	<u>31.01.2019</u> <u>Ongoing</u>
15. Tourism, Culture & Investment - De Montfort Hall - Loss of operational ability, falling below customer expectation, loss of reputation, knock on effect to touring promoters if facilities not up to industry expectation. Root problem: The flying bars recently suffered some failures and if the flying bars were to cease operation, we would not be able to continue with our programme of shows.	- Loss of income, loss of reputation, negative PR.	- Responsibility for maintenance of the flying bars has rested with DMH until recently. The recent condition report commissioned by Theatre Plan, suggest that the flying bars will fail in 12-18 months. Approximate cost of replacement would be £200k. Further investigation is required. EBS will struggle to fund from maintenance budgets.	5	3	15	Due for renewal Aug-2018. <u>Replacement took place during summer, however teething problems persist. EBS working with contractor to resolve.</u>	5	2	10	<u>N/A - circa £100k. Funded via EBS capital.</u>	Mike Dalzell	31.01.2019 Ongoing
16. Tourism, Culture & Investment - De Montfort Hall - Loss of operational ability, falling below customer expectation, loss of reputation, knock on effect to touring promoters if facilities not up to industry expectation. Root problem: The stage lift has recently suffered some failures and if this lift were to cease operation, we would not be able to change format of the hall to enable DMH to hold the variety of performances we currently have booked	- Loss of income, loss of reputation, negative PR.	- Responsibility for maintenance of the stage lift has rested with DMH until recently. EBS have now taken on responsibility. We have had the lift serviced this Summer 2017, with recommendations for some repairs to take place in Summer 2018 which would cost approximately £30k but the lift really needs to be replaced entirely at a cost nearer £200k. The recent conditional report suggest that the lift will fail in 12-18 months. Property services have expressed that they do not have a budget to service our needs.	5	3	15	Works procured but cannot be carried out until Aug 2019. Mitigation and controls to be put in place reduce risk of failure in meantime. <u>Mitigation in place for quarterly servicing until replacement can be undertaken</u>	5	2	10	<u>Mitigation in place for 2hr callout until works can be undertaken.</u>	Mike Dalzell	<u>31.01.2018</u> <u>Ongoing</u>

Appendix 4a - Leicester City Council Operational Risk Register

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
STRATEGIC AREA - Corporate Resources and Support												
<p>17. Delivery, Communications and Political Governance - UNPLANNED ELECTION EVENT</p> <p>The service may struggle to manage a number of unplanned, additional elections, as well as a number of different type of elections e.g. House of Lords, Referendums etc.</p> <p>- Unable to source suitable polling stations and a count venue for unplanned elections.</p>	<p>- Elections not performed appropriately/challenges received.</p> <p>- Reputational damage.</p> <p>- Adverse effect on finances.</p> <p>- Media coverage.</p> <p>- Public complaints.</p> <p>- Increase in resource requirements.</p> <p>- Could lead to increased expectations on the existing trained core team, who hold relevant and detailed knowledge.</p> <p>- The potential repetition of impacts and pressures that arose during 2011 elections.</p> <p>- Impacts also on the wider capacity and resources of the Council which would be needed to support delivery.</p>	<p>- Returning officer and nominated deputies are in place.</p> <p>- Insurance is in place.</p> <p>- Many elections can be planned and have set dates. Monthly planning meetings and work already underway in preparation for the next planned elections (Mayoral and Local) in May 2019 taking account of lessons learned from recent elections. Monthly meetings <u>have considered and will continue to review</u> are now also considering the risk of a further short-notice general election due to continued issues nationally arising from Brexit negotiations</p> <p>- May 2015 and 2016 elections and EU referendum enabled newer members of the core team to develop further skills and experience in specific aspects of the elections process which was further consolidated by 2017 general election.</p> <p>- Electoral Commission guidance gives detailed support in the planning and management of each specific type of elections.</p> <p>- A number of the Electoral Services team undertaking professional AEA qualifications. Recruited two new electoral services officers and they will be provided with appropriate core professional training</p> <p>- In recent elections have drawn upon external expertise e.g. training delivered via AEA and involved a wider group of staff from across the Council to support the process.</p> <p>- Detailed debriefs have been done after each election in recent years and used to feed into planning for future elections</p>	4	4	16	<p>- Continue to develop skills and expertise across the wider electoral services team including completion of formal training & qualifications - a number of staff undertaking relevant qualifications.</p> <p>- Use external or peer support where feasible e.g. from other local authorities.</p> <p>- Consider training/up-skilling a pool of contingency staff.</p> <p>- Keep under review staffing skills and expertise within the team and more widely</p>	4	3	12	<p>EBS now proposing to address in summer recess</p> <p>Mitigation in place for 2hr callout until works can be undertaken..</p>	<p>Miranda Cannon</p>	<p>31.01.2019 Ongoing</p>

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk	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 existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
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<p>What is the issue:</p> <p>what is the root cause/</p> <p>problem – what could go wrong</p>			(See Scoring Table)			(See Scoring Table)						
<p>18. LEGAL CHALLENGES PARTICULARLY RELATED TO PSED/CONSULTATION/EMPLOYMENT</p> <p>Consultation approach and EIAs are increasingly targeted areas for legal challenge and increased tendency for employment tribunals particularly since abolition of fees. Increased legal challenges heighten the need to ensure that processes are followed by staff:</p> <p>Risk: Ineffective and inefficient processes and managers do not follow explicit guidance. Efficient/effective processes are not communicated in a uniform manner</p> <p>13</p>	<p>- Communications are not appropriate (present the right information, performed in a uniform manner, not consistently worded, communicated or the tone are appropriate), leading to legal challenge.</p> <p>- Equalities Impact Assessments cannot address all potential areas of legal challenge on Public Sector Equality Duty grounds.</p> <p>- Lack of legal expertise/appropriate resources.</p> <p>- Potential for legal challenge/judicial review by providers, staff, service users, etc.</p> <p>- Reputational damage/media exposure.</p> <p>- Unplanned adverse effect on budget/finance</p> <p>- Resource intensive to defend legal challenges/judicial reviews.</p> <p>- Unrealistic public/political expectations</p>	<p>- Equality Impact Assessments (EIAs) are performed to help ensure the Council meets the Public Sector Equality Duty (PSED). <u>Workshops are being planned to support those completing EIAs. Enhanced focus on governance agreed by CMT in Sept including new Governance Group who will consider equalities and risk as part of their work.</u></p> <p>- On-going reviews of outcomes of other PSED challenges inform our approach to demonstrating compliance with our PSED, and lessons from these shared / communicated and used to revise our approach where appropriate.</p> <p>- Expert support e.g. HR, equalities, consultation in place with supporting guidance.</p> <p>- EIA process (what needs to be considered when) and EIA templates regularly reviewed and revised as appropriate. <u>Report done to CMT on review of previous EIAs and tracking of recommendations which was well received and identified areas for improvement in existing practice particularly linked to decision making.</u></p> <p>- Community engagement fund developed to support work with the VCS in support of meeting our PSED</p> <p>- Consultation training with a focus on the legal risks undertaken by the Comms and Equalities Teams</p> <p>- New Equality Strategy and action plan approved by Council <u>in June 2018 and work underway - first quarterly review completed and progress is on track</u></p>	4	4	16	<p>- Continue to review external practice e.g. from other Local Authorities and partners, which have been deemed as best practice and implement locally as appropriate.</p> <p>- Ensure the correct resources, with the relevant skills and experience are allocated to roles.</p> <p>- Ensure HR support is available.</p> <p>- Report planned for GMT in Sept on a review of previous EIAs and progress on actions which provides opportunities for lessons learnt - <u>Delivery of EIA workshops and provide further guidance/templates if appropriate/needed in light of those workshops</u></p>	4	3	12		Miranda Cannon	<u>31.01.2019</u> <u>Ongoing</u>

Appendix 4a - Leicester City Council Operational Risk Register

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
114 19. Delivery, Communications and Political Governance - HR System Implementation Implementation of the new HR system goes over budget / timescales or system cannot meet requirements and fails to achieve desired outcomes and benefits	<ul style="list-style-type: none"> - Ability to deliver the core HR service is compromised - Critical data / information is lost - Statutory requirements such as HMRC and other returns cannot be achieved - Increased costs to the service including risk of fines where statutory requirements cannot be met e.g. pensions returns - Reputational damage - Pressure on staff resulting from the need to work in the absence of an effective system - Staff are not paid correctly (under or overpayments) creating additional work for Payroll and dissatisfaction amongst affected staff - Other errors occur e.g. calculation of annual leave creating additional work for BSC and dissatisfaction amongst staff/TUs 	<ul style="list-style-type: none"> - Project Manager and Project Board in place. Close involvement of key areas including ICT Procurement, BSC, ICT - Supplier has been in dialogue concerning a settlement proposal regarding what they propose to deliver/not deliver - a formal offer is still not forthcoming however. In addition the Supplier has been given notice twice regarding issues relating to the live system where contractual obligations are not being met however the response from the Supplier is poor and could lead to a possible breach of contract. Further actions being determined and contingency options being prepared. Andy Keeling and City Mayor briefed on the position. Close ongoing support and involvement from Legal Services and Procurement. Supplier has provided a settlement proposal regarding what they propose to deliver/not deliver and associated charges and LCC has done a formal response indicating that we do not agree with this. Awaiting their response. Preparing contingency options - Recruitment removed from scope and has been re-tendered in light of failure by supplier to deliver. A supplier has been confirmed and implementation is underway (see further risk below) - Go live of payroll and self-serve elements has happened, issues prioritised and majority of high and medium risk issues addressed but low priority fixes still to be completed before phase one can be closed - supplier is not progressing these at the 	4	4	16	<ul style="list-style-type: none"> - Formal engagement with supplier response relating to settlement proposal. Briefing of City Mayor and Andy Keeling of current position. - Preparation relating to contingency options – Determine next course of action with the supplier in relation to settlement and the live system. - Continue to progress contingency / business continuity options 	4	4	16		Miranda Canon	31.01.2019
22. Finance - Financial Challenges The Council fails to respond adequately to the cuts in public sector funding over the coming year or years.	<ul style="list-style-type: none"> - Council is placed in severe financial crisis. Reputational damage to the Council and substantial crisis job losses. If the process is not properly managed, the Council will have little money for anything but statutory 'demand led services' 	<ul style="list-style-type: none"> - Budget balanced in 18/19 - Further work required to balance the medium term, particularly driving the spending review programme - £6m service transformation fund 	5	4	20	<ul style="list-style-type: none"> - Heavy involvement of City Mayor and COO in ensuring spending review programme delivers. - Appropriate change management/ project management arrangements to be put in place for major review areas. - Delivery of spending review 4 	5	2	10		Alison Greenhill	31/03/2019/2020 and On-going

Appendix 4a - Leicester City Council Operational Risk Register

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
23. Finance - Corporate Fraud Failure or inability to effectively detect, prevent, investigate and deal with corporate fraud.	- Reputational damage - Potential for losses in £millions - Investigations not effectively carried out - Fraud difficult to quantify so cannot always evidence effective outcomes	- Corporate Fraud Team has accredited financial investigator - Good engagement with Police Financial Crime Unit - Recruitment to posts	5	4	20	- Aiming to implement seconded Police officer	5	4	20		Alison Greenhill	<u>31.01.2019</u>
24. Finance - Introduction of Universal Credit (UC) Full Service LEGISLATION - Transfer of Housing support from the local authority, as under Housing Benefit (HB), to DWP. Schemes are not identical and in some instances not as generous as under HB. Impacts complex to explain as some claimants will remain on HB in the interim, for periods as fixed by the DWP.	- Rent policy and collection arrangements will be challenging (different impact to rent arrears) - Housing policies and procedures will require review - Potential need to increase allocated staff resources - Rental payments are delayed thus arrears build up leading to financial consequences for the Authority, Housing Associations & Private landlords - Financial consequences in £m - Increase to bad debt provision (Rent £2m arrears & CT £3.5m in year collection loss) - Reputational damage - Demand for Crisis Support will increase (est 200%) - Demand for Social Welfare Advice will increase (12.5%) - Demand upon Discretionary funding may exceed Government budget Allowance. - Demand for Council Tax Discretionary Relief (CTDR) support may exceed budget - Waiting and assessment periods, sanctions and compliance requirements will lead to delays in first payments and monthly reassessments of entitlement will be carried out	- LCC have a UC support strategy, risk log, Equality Impact Assessments with associated comms and action plans - Housing Service are developing a UC Full Service impact strategy, reviewing and developing a Homelessness prevention policy - Housing Options are monitoring the occurrences of this phenomenon - Detailed comms and action plans have been created by both Revenues & Customer Support & Housing - Comprehensive engagement programme is in place with commissioned providers to alert them to the increase in demand. - Every commissioned service has a business continuity plan which can be deployed should demand outstrip provision.	4	4	16	- Effective and repetitive communication campaign - The Council has written to DWP to raise their significant concerns regarding the impacts likely as a result of the introduction of full service Universal credit. - Social Welfare advice -discussions ongoing at the Strategic SWAP (Social Welfare Advice Partnership) group re the identification and management of demand - Recognition of increased demand for crisis support- Engagement with provider, Action Homeless, actions within their Business continuity planning. - DHP (Discretionary Housing Payments)/CTDR potential to request consideration of additional resources from Exec. - Reputational damage should be defensible as this is a DWP benefit and the local authority has no control over the timetable or administrative processes for this change.	3	4	12	£2m Rent arrears £0.5m Grant loss £3.6m CT loss	Alison Greenhill	<u>31.01.2019</u>

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>25. Finance- BSC - Payroll Service -Loss, or partial loss of Payroll Application SAFE. Fragility of the software and SAFE system support resources leaves the potential for a significant number of staff to be paid incorrectly. This would mean over/under payments or in extreme cases no payment. <u>LGPS/TPS potential non-compliance.</u></p>	<p>- Reputational damage - potentially huge. Noting reputational damage with Harborough DC & Leicestershire Cares - Approx. 16,500 employees, councillors and external customers not paid/incorrectly paid on a monthly basis - Requirement for emergency payments due to financial hardship - Financial compensation for bank charges imposed on employees, councillors and external customers</p>	<p>- SAFE EMS systems provided by SAFE Computing, 20 Free school Lane, Leicester LE1 4FY are retaining expertise from SAFE ownership - Escrow Agreement (49000) with NCC Group - Payroll Services BCP in place, lead Cory Laywood - Line by line manual checks of the payroll extracts from the SAFE system</p>	3	5	15	<p>- Occasional testing of BCP plan - Using BAU processes to deal with under or over payments - Additional checking processes before the final BACS run - Smart reporting to test for known issues</p>	3	4	12	20% of monthly net pay at £18m	Alison Greenhill	31.01.19 & ongoing
<p>26. Legal - Key areas of risk are: flexible working practices which expose data to new risks, inappropriate disclosure of personal data, insecure and excessive information sharing externally and internally, lack of universal participation in Information Governance training, lack of awareness of the compliance and enabling role of Information Governance and failure to comply with the Regulation of Investigatory Powers Act 2000. (Also see corresponding risks around Data Protection and Freedom of Information compliance.)</p>	<p>- Data may be lost or shared inappropriately. - Potential legal challenge. - Breaches in regulation/legislation, which may incur fines, reputational damage and negative media coverage. - Local breaches are not reported to the Information Governance Team until a compliant arises. There may be a number of unreported information governance breaches which are unreported and being managed at a local level. - Subject Access Requests: this area has failed in compliance in 2013, and could fail again in the future.</p>	<p>- Policies and procedures in place e.g. security, retention and disposal. - Devices are encrypted. - Staff briefed on Information Governance (IG) compliance and asset mgmt. - Improvement plan identifies necessary procedural updates etc. - Good liaison with Information Commissioners Office (ICO) and increased visibility and compliance. - Regular reports to Directors on the importance of IG compliance. - Staff are required to complete IG training on induction and all staff were asked to complete training in 2013. - LCC submissions to the NHS IG Toolkit provide a health check on IG policies and systems. - Self service IG Healthcheck tool for managers has been drafted. Next stage is testing. (NB staff turnover and high rates of change are increasing LCC's exposure to risk here)</p>	4	5	20	<p>- Requirement for all to complete annual IG awareness training should be enforced. - Introduce a self-service IG health check for Managers to check their team's compliance and identify their own improvement actions. - IG issues to be addressed more consistently in contracts outside IT Procurement (where this is systematic). - Need for services facing high staff turnover to prioritise Data Protection and security training to maintain capability levels. NB: in a changing context, controls need to evolve and be constantly refreshed to maintain the risk exposure at the current level and prevent it from increasing. Therefore, no reduction in risk exposure is anticipated.</p>	4	3	12		Kamal Adatia	31.01.2019

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STRATEGIC AREA - Education and Children's Services												
29. Strategic Commissioning and Business Development - Safeguarding/ teaching and learning workforce programmes are ineffective and Local Authority has insufficiently trained staff to deliver and manage the range.	- Stress management failings, lacks capacity and competency - Potential adverse impact on inspection outcomes.	- Work Life Balance policies, and supporting wellbeing website www.childrensworkforce/ supporting wellbeing Learning Training & Development Plan refreshed - New department priority and focus on qualification and safeguarding training.	4	4	16	- Management to implement health and safety and wellbeing policies and seek advice and support to mitigate risk of undue stress in the workforce - New corporate team to actively engage in implementing workforce strategy and limited strategy and plans.	4	3	12		TBC	31.01.2019
New												
STRATEGIC AREA - Adult Social Care												
2. Care Services & Commissioning (ASC) - Salary enhancements Removal of enhancements	- Failure to provide out of hours service (Stat duty); - Loss of key staff who seek alternative employment; - disruption to service standards and provision; - decreased morale	- Raised profile corporately	4	4	16						Tracie Rees	31.01.2019
4. Care Services & Commissioning (ASC) - Data breach Human error as demands on role increase likelihood for breach with access to sensitive data	- Sensitive data shared with wrong individuals; - Distressing to service users; - Reputational damage to LCC; - ICO investigation and potential fines	- E-learning staff training - mandatory; - HR action against offenders / disciplinary / dismissal / court; - Shared learning; - Information sharing agreement / DPA policy; - Caldicott Guardian - TR; - Automated message on log-on	5	3	15	Reviewing toolkits / refresher training / reviewing guidance and training on GDPR requires regular refresher	4	3	12		Tracie Rees	31.01.2019

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
STRATEGIC AREA - City Development and Neighbourhoods												
5. Housing - Legislation Change in Government legislation on council housing known to be coming but full details remain unclear	Requirement to increase stock significantly would likely be difficult to adhere too. Current stock reducing through RTB with remaining stock primarily less desirable and needing increased maintenance investment; overcrowding may get worse	- Stock significance - housing company established - phase one agreed and implementation starts Jan 2019; - Homecom sourcing additional affordable lets; - New build included within affordable housing register (homechoice system); - Prioritised housing register to focus on those with greater need; - Under occupation project underway to review opportunities / availability of estate to meet needs and demands; - STEPT accommodation provision to support customer needs	3	5	15	- Phase 2 to be scoped following completion of Phase 1; - Social lettings agency option being considered to being in affordable available accommodation in city; - consider further prioritised needs assessment; - establish tenant incentive scheme as part of under occupation project; - pursue additional STEPT accommodation	3	4	12		Chris Burgin	31.01.2019
6. Housing - Data Breaches Increasing demand on staff capacity increases potential for errors which lead to data breaches	- Sensitive data shared without permission; - ICO investigation and potential significant fines, - reputational damage, - decreased morale, - decreased capacity as staff support investigation	- Staff training on-line mandatory programmes; - reinforced notifications; - formal process to manage breach, formal disciplinary procedures to manage process; - HR support; - introducing technology to support staff undertaking their roles; - channelling services on-line to allow customers to self serve; - password protection mandatory; - proactive recruitment and retention to maintain FTE levels; - planned and organised approach to service changes;	4	4	16	- ongoing programme of training and education; - enhanced use of hardware; - channel shift to promote self serve; - streamlining of processes, - review of service analysis / requirements, - lessons learned review across council from Information Governance	4	4	16		Chris Burgin	31.01.2019
STRATEGIC AREA - Corporate Resources and Support												

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
20. Finance - Information and Customer Access - Cyber Security Increasing profile and expertise to circumvent established defences increase vulnerability of LCC data	- Data hacked and released into public domain; - Reputational damage - seek alternative more expensive solutions; - Fines from ICO; - Staff stress increases; - Damage to identified individuals; - Denial of service	- Technology defences; - Awareness campaign; - Targeted follow up's; - Built into new system standards from 3rd party applications (secure passwords, TLS); - Daily back-up of systems	4	5	20	- Technology solutions, requires cost effective considerations; - Continued awareness training etc..	4	5	20		Alison Greenhill	31.01.2019
21. Finance - Tactical Decision Making Business solutions considered by services, which impact upon Information Services service delivery, are taken without consultation or considering the impact	- Increased budget pressure to implement / maintain expensive systems; - Increased pressure achieve service budget / targets; - Staff morale decreases; - Reduction in service capacity; - Breach of licences leading to fines; - Security risks of data / service; - Service support to other parts of council affected; - Internal reputational damage;	- Consultation with HoS to increase knowledge and understanding of IT requirements at early stages of projects; - Create Target Operating Model (TOM); - Enforcing Digital Transformation (DT) gateway process; - Provide clear criteria for commissioning new IT solutions; - Business Continuity (BC) process includes costs to service;	4	4	16	- Monitor effectiveness of identified mitigations to determine future actions / plan	4	4	16		Alison Greenhill	31.01.2019
STRATEGIC AREA - Education and Children's Services												
27. Children's Social Care and Early Help - Budget Loss and / or reduction of services to achieve budget savings	- Reduction in preventative services impacting on ability to deliver Statutory services; - Inability to deliver Placement Sufficiency; - Decrease Capacity / Increase demand; - Potential reduction of staffing levels; - Limited ability to deliver some front line services; - Potential for future claims against authority	- Transformation board oversees all budget reduction projects; - Strategic Oversight; - Clear governance arrangements	5	4	20	Star Chamber presentation re: undeliverable savings					Caroline Tote	31.01.2018

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what 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 existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
28. Children's Social Care and Early Help - GDPR Change in Data Protection regulation (GDPR) which came into force May 2018.	- Historic breaches of information due to human error continue; - Under new regulations the size of potential fines significantly greater; - Inaccurate data within systems; - Inaccurate decisions made for service user; - Could lead to data breaches and significant fines and incorrect service provision for service user. ICO involvement	- Training cascaded across services; - Compliance monitored; - Lessons learnt have been cascaded; - Actions taken where necessary	4	4	16	- Developing clear and consistent HR response. Majority of staff have completed GDPR training session. - Referral paperwork (MARF) is taking GDPR into account.	5	3	15		Caroline Tote	31.01.2019
STRATEGIC AREA - Public Health												
30. Budget Restrictions - Funding Ongoing austerity for Public Sector requires changes to service delivery to comply with available budget, continued reductions could force termination of services to ensure priority services remain available	- Change in service provision; - Decreased / ceased service /user contact; - Decreased / ceased service effectiveness; - Reputational damage; - Increased demand on other public services (primary / secondary health care / Social Care / Leisure Centres); - Risk of missing safeguarding issues; - Impact on council statutory duties; - Judicial review; - Central government intervention	- PH Return to Central Government (Return On Investment (ROI)); - Staffing restructure; - Invest to save opportunities explored; - Internal briefings / decision making process; - Political support; - Articulating associated risks; - Scrutiny; - Clinical Governance Process in place; - Monitoring to identify adverse effects	3	5	15	- Continue with existing controls; - Securing additional revenue / income generation through commercial opportunities;	3	5	15		Ivan Browne	31.01.2019

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Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what 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 existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
31. Budget Restrictions - Commissioning Reduced budget for services impacts on financial viability to potential 3rd party contractors who may deem package to be unsustainable.	- Loss of existing contractors unable to fulfil contracts within reducing financial envelope; - Inability to attract new providers during tenders; - Loss of service provision; - Impact on community who require service; - Impact on NHS as demand increases for other services; - Decreased morale; - Reputational damage to LCC	- Bespoke procurement methods; - Briefing of lead members to highlight potential risks and consequences; - Internal decision making process; - Expertise within team to assess choices and inform management briefings / options appraisal; - Advocacy by Director Public Health (DPH) with national bodies; - Provider negotiations; - Working with internal departments (legal / procurement / contract management/ finance)	4	4	16	Continue with existing controls;	4	4	16		Ivan Browne	31.01.2019
32. Budget - External Influences External national imperatives without associated budget introduced which will impact on local delivery	- Call on finances NHS pay award; - Changes in financial call due to changes in clinical requirements; - Prioritisation / decommissioning / reduction of existing service delivery model	- Internal decision making process; - Expertise within team to assess choices and inform management briefings / options appraisal; - Advocacy by Director Public Health (DPH) with national bodies;	4	4	16	- Political escalation; - Corporate responsibility; - Service & budget planning	4	4	16		Ivan Browne	31.01.2019

Appendix 5

Year to date (April - September 2018)

	Total Claims Received	Repudiated	In Progress	Paid	Paid £k
Q1	217	113 52%	64 29%	40 18%	48.5
Q2	117	32 27%	77 66%	8 7%	16.1
Q3					
Q4					
Year to date	334	145	141	48	64.6

April 2017 - March 2018	839	564 67%	111 13%	164 20%	441.8
April 2016 - March 2017	951	713 75%	37 4%	201 21%	916.1
April 2015 - March 2016	1131	870 77%	40 4%	221 20%	1,323.4

Quarter 2 (July - September 2018)

	Public Liability	Employers Liability	Motor	ECS	Property	Total	Estimated claim value	of which paid to date:
							£k	£k
Neighbourhood & Environmental Services	8		13		1	22	33.7	7.5
Tourism, Culture & Inward Investment					1	1	0.7	0.0
Planning Development & Transportation	31		5	1		37	594.8	2.5
Estates & Building Services					3	3	561.1	0.0
Housing Services	26	3	9		6	44	114.9	5.0
Adult Social Care			1			1	2.0	1.0
Health & Wellbeing	2					2	23.8	0.0
Education & Childrens Services	1					1	6.0	0.0
Schools				1	3	4	10.3	0.1
Corporate Resources						0	0.0	0.0
Other / not recorded		1	1			2	0.2	0.0
	68	4	29	2	14	117	1347.5	16.1

of which:
claim closed at no cost (repudiated)

32
27%

Appendix 5

Year to date (April - September 2018)

Quarter 1 (April - June 2018)

	Public Liability	Employers Liability	Motor	ECS	Property	Total	Estimated claim value	of which paid to date:
							£k	£k
Neighbourhood & Environmental Services	8		14			22	47.0	14.8
Tourism, Culture & Inward Investment	1		1		1	3	13.7	0.0
Planning Development & Transportation	96		1			97	80.1	6.2
Estates & Building Services	1		1		4	6	9.5	3.6
Housing Services	39	2	21	1	7	70	75.0	19.3
Adult Social Care	3					3	2.7	0.6
Health & Wellbeing					1	1	14.1	
Education & Childrens Services	2		2	1	1	6	21.4	0.5
Schools	1	3			1	5	48.2	0.0
Corporate Resources				1		1	0.0	0.0
Other / not recorded	1		2			3	3.5	3.5
	152	5	42	3	15	217	315.2	48.5

of which:
claim closed at no cost (repudiated)

113
52%

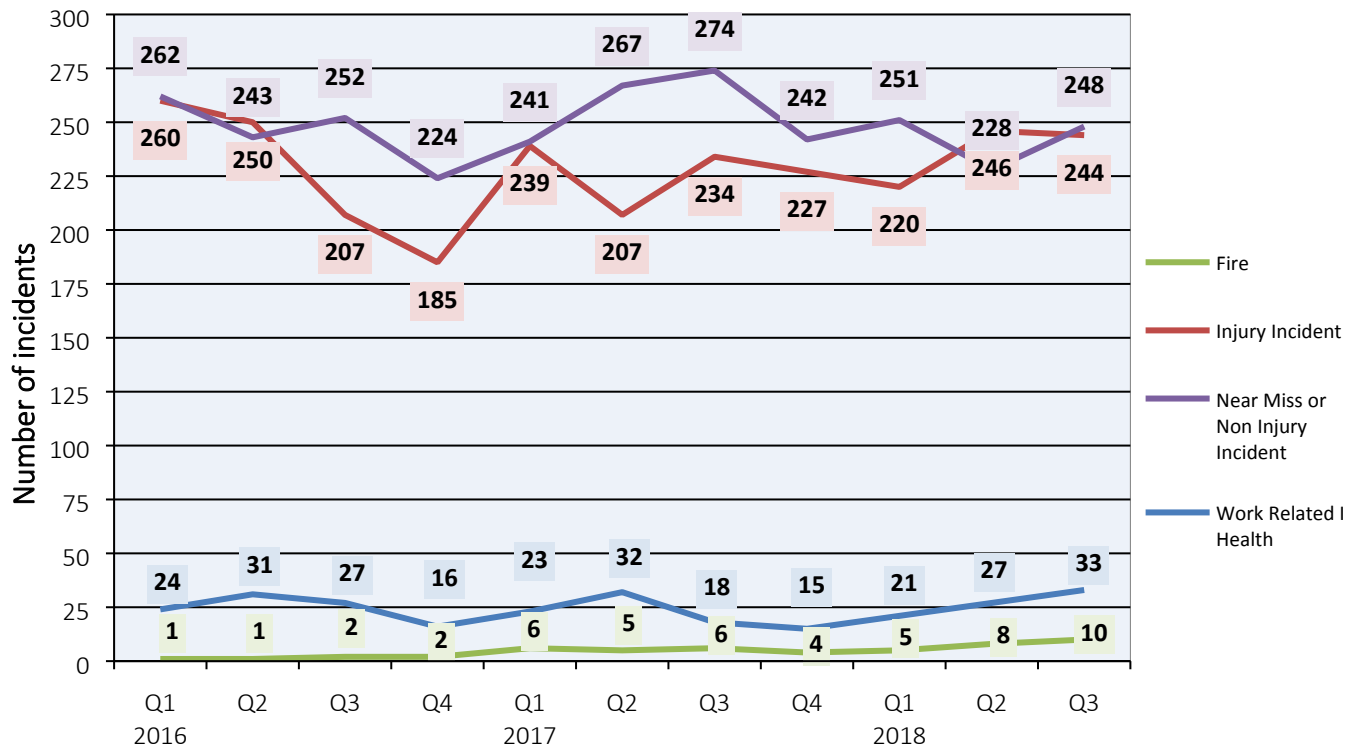
NB All figures are based on information as at 31/7/18. Claim repudiation rates will increase over time; this is not a final position for the year's claims.

Appendix 6

Corporate Incidents by quarter 2016 – Q3 2018

		Fire	Injury Incident	Near Miss or Non Injury Incident	Work Related Ill Health	Total
2016	Q1	1	260	262	24	547
	Q2	1	250	243	31	525
	Q3	2	207	252	27	488
	Q4	2	185	224	16	427
2017	Q1	6	239	241	23	509
	Q2	5	207	267	32	511
	Q3	6	234	274	18	532
	Q4	4	227	242	15	488
2018	Q1	5	220	251	21	497
	Q2	8	246	228	27	509
	Q3	10	244	248	33	535

Corporate number of incidents by incident type (Q1 2016 to Q3 2018)



Risk, Emergency & Business Resilience Training Programme 2019

Below are details of the Risk, Emergency and Business Resilience Training Programme for 2019. If you wish to attend these sessions, **please book through the Myview pages of Corporate Workforce Development**. Prior to booking, please discuss with and seek your manager's approval. Most of the sessions are limited to between 15 and 20 attendees, so bookings will be on a 'first come, first served' basis.

All the sessions will take place in City Hall and will start promptly at 9.30am. Sessions tend to run for no more than two hours but can finish 12 noon.

Identifying and Assessing Operational Risks

29 January
27 February
11 April
7 May
19 June
9 July
18 September
24 October
24 November.

(Training delivered by Sonal Devani and Nusrat Idrus)

Since October 2014 this session has been mandatory for all staff who complete an operational risk assessment or risk register. Anyone completing a risk assessment that has not been on this training recently may be exposing the Council to a potential uninsured loss. If in doubt – ask!

This course covers the process of Operational Risk Identification and Assessment and will touch upon identification of mitigating controls. The session includes an outline of the council's Risk Management Strategy and Policy and the role you play in implementing the strategy and policy. The session is for anyone who manages operational risk (manage staff; manage buildings; manage contact with service users or the general public) in their day to day role – all tiers of staff from Directors down – and those that let council contracts. The course will lead you through the agreed risk reporting process at Leicester City Council and allow you to identify your role within that process. The practical exercise should help staff complete the council's risk assessment form.

Business Continuity Management

23 January
5 March
23 May
24 September
11 November.

(Training delivered by Sonal Devani and Nusrat Idrus)

This course provides an understanding of Business Continuity Management within the organisation. It explains the difference between managing business continuity and merely writing your plan. This understanding will allow you to manage unexpected incidents and get back to delivery of your 'business as usual' service in the event of an unforeseen circumstance. This session is aimed at anyone who has a responsibility for a building, staff; and for delivery of a service, therefore, needs to have a business continuity plan or would be part of a recovery team needed to restore an affected service after an incident. The session also outlines the council's Business Continuity Strategy and Policy and will explain how that might affect you and your work. A step-by-step guide is provided to completing the council's BCP pro-forma. This session should be attended by all Heads of Service and their senior management to ensure that, in the event of a serious, unexpected incident, they understand the processes that will help to ensure the council can continue to operate with minimal impact.

Emergency Centre Volunteer Training

26 February

21 March

30 April

20 June

19 September

21 November.

(Training delivered by Martin Halse, Ramila Patel and Neil Hamilton-Brown)

The half day training session gives you an understanding of how an Emergency Centre is setup and the roles and responsibilities of staff and various organisations. **‘What happens to people when there is a fire or flood in the city?’** Frequently, the council is the first port of call for those caught up in the incident. One of the essential ways the council can help during an emergency is to open an emergency centre to assist those affected, such as happened during the recent major incident at Hinckley Road explosion.

Personal/Bespoke Sessions

We accept that, due to staff constraints and timing of leave, it may not be possible for all of your staff with a need to attend these training courses to attend one of the dates above. We continue to offer all of our training to specific groups of staff at times and locations to suit you. All of our training can be condensed to fit whatever time you have available. We can also focus on your own service area’s needs and objectives when delivering this training to a bespoke group of staff. Please be aware that we are a small team and it may be that such a session may take weeks rather than days to be arranged.

If you would like to discuss a bespoke session, please contact:

For Risk and Business Continuity:

Sonal Devani

Nusrat Idrus

For Emergency Management:

Neil Hamilton-Brown

We would like to assist you in any way we can and are happy to meet you to assist you to identify training needs of your staff, whilst at the same time protecting the council’s most valuable asset – you and your staff.

Sonal Devani

Manager, Risk Management

Risk, Emergency & Business Resilience



Leicester
City Council

**WARDS AFFECTED:
ALL WARDS (CORPORATE ISSUE)**

AUDIT & RISK COMMITTEE

19 December 2018

Financial and Accounting Developments Update

Report of the Director of Finance

1. Purpose of Report

- 1.1. To provide the Committee with an update on key changes currently affecting the Council, and which may have an impact on the work of this committee.

2. Summary

- 2.1. The report will include an update to the committee on the following areas:

- New Codes of Practice
- Budget 2019/20
- CIPFA Code of Practice Changes
- Format changes to the Statement of Accounts

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. New Codes of Practice

- 4.1 The Government has issued a new code of practice on investments, and CIPFA has updated its “prudential code” on capital expenditure. The need for these codes arises from Government concern about a small number of authorities borrowing substantial sums to invest in commercial property (often in other parts of the country). Spelthorne Borough Council, for instance, has borrowed money on a scale which is many times its net revenue budget. The practical implication is that, when Council considers the budget in February, there will be some extra strategies:

- (a) A capital strategy, setting out our approach to capital as a whole, and in particular our attitude to risk;

- (b) An investments strategy. We have always produced a strategy governing the investments we use for treasury purposes, but this new strategy will cover other types of investment (for instance, the recent investment in the “Blue Tower” which has now been repaid). Again, we will need to state our attitude to risk, and how we ensure we do not become too reliant on income from such investments.
- 4.2 The Council’s approach to such activity has always been prudent, and when we make investments this is always for service purposes (e.g. creation of jobs) as well as a hope of financial return. This will be stressed in the strategy.

5. Budget 2019/20

- 5.1 This will be published for consultation on 11th December. We anticipate setting a balanced budget for 19/20; but there is considerable uncertainty about our position from 20/21 in the absence of any funding information from the Government, and the introduction of a new system of local government finance.

6. CIPFA Code of Practice Changes

- 6.1 The Council is annually required to produce a Statement of Accounts under the Accounts and Audit Regulations 2015. The Code of Practice for Local Authority Accounting specifies the principles and practices of accounting required to give a true and fair view of the financial position of an organisation. The code is based on International Accounting Standards and reflects changes in international accounting standards.
- 6.2 For the financial year 2018/19, two new standards have been introduced:
- IFRS9, Financial Instruments - Financial instruments are where contracts exist that give rise to a financial asset or liability. For example, cash and investments are a financial asset and borrowing is a financial liability. The basic principle of the standard is that changes in the “fair value” of an investment are charged (or credited) to income and expenditure while we continue to own it. Following a recent consultation, a statutory override has been implemented for fair value movements in pooled funds for at least five years until 31st March 2023. This will mean that any movement will not affect the Councils bottom line and therefore not have a budgetary impact. There may be some other investments that are covered by this standard, but any effects on the Council’s budget are anticipated to be minimal.
 - IFRS15, Revenue from Contracts with Service Recipients - The standard covers when revenue should be recognised when arising from a contract. It is envisaged this change will have limited impact on the accounts, but the team is currently working through the standard.

7. Format Changes to the Statement of Accounts

7.1 The Statement of Accounts is a complex document and due to that can be hard to prepare and difficult for readers to understand. Therefore, authorities are being encouraged to declutter and streamline their accounts wherever possible. The purpose of this is to ensure accountability and clarity of the financial statements. When completing this review, we are asked to consider:

- Stakeholder engagement
- Removal of immaterial disclosures
- Removal of duplication
- Re-order
- Use of different presentational formats

7.2 The Council has been working on the above items for a few years e.g. removal of immaterial disclosures and duplication. For 2018/19 a review of the presentation of the accounts is being completed. The purpose is to improve the presentation of the accounts and stakeholder engagement. The new format will be presented to the Committee members at training to be completed in March.

8. Financial Implications

8.1. This report is concerned with financial implications throughout.

9. Legal Implications

9.1 There are no direct legal implications arising to this report.

10. Other Implications

<u>OTHER IMPLICATIONS</u>	<u>YES/NO</u>	<u>PARAGRAPH REFERRED</u>
Equal Opportunities	No	
Policy	No	
Sustainable and Environmental	No	
Crime and Disorder	No	
Human Rights / People on low incomes	No	
Corporate Parenting	No	
Health Inequalities Impact	No	

11. Consultations

Not applicable

12. Author

Amy Oliver, Chief Accountant

Appendix F

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

Document is Restricted

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