

## Appendix 4 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/01/2019

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:												
what is the root cause/												
problem – what could go wrong			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<b>STRATEGIC AREA - Adult Social Care</b>												
<b>1. Care Services &amp; Commissioning (ASC) - Budget - Compliance</b> Lack of budget / resources to comply with changes in DOLs legislation	- DOLs assessments not carried out; - Potential for individuals to be illegally deprived of their liberty, for safeguarding due to lack of oversight and for legal claims against LCC, and fines.	- Following legal advice from a Barrister, Leadership has agreed a revised prioritisation system that is reviewed regularly. - Use of Independent BIAs - Use of form 3b; - Development of internal staff (Social workers - BIA)	4	4	16	- Report to Exec - seeking additional funding for 12month project.	4	3	12		Tracie Rees	31.03.2019 Ongoing
<b>2. Care Services &amp; Commissioning (ASC) - Mental Health - Statutory Duty</b> LCC is legally obliged under the Mental Health Act (MHA) to provide 24/7 service	- 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.	- 24/7 rota reviewed with AMPs and Unions and due for implementations shortly; - using non-AMPs for appropriate functions	4	4	16	- Management support to AMHPs; - Continue to consider options for recruitment, Continue to escalate. - Pilot of new 7 day rota commenced 01.09.2018 and was reviewed at the end Nov 2018, but issue of cover still not resolved. - Review to be completed to change ToC. Meantime the risk remains high as the council may not be able to undertake its statutory duty.	4	3	12		Tracie Rees	31.03.2019 Ongoing
<b>3. Care Services &amp; Commissioning (ASC) - Salary enhancements - BIAs</b> 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. JE in progress with corporate JE team.	4	4	16						Tracie Rees	31.03.2019 Ongoing

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<b>4. Care Services &amp; Commissioning (ASC) - Data breach</b> Human error as demands on role increase likelihood for breach with access to sensitive data	<ul style="list-style-type: none"> <li>- Sensitive data shared with wrong individuals;</li> <li>- Distressing to service users;</li> <li>- Reputational damage to LCC;</li> <li>- ICO investigation and potential fines</li> </ul>	<ul style="list-style-type: none"> <li>- E-learning staff training - mandatory;</li> <li>- HR action against offenders / disciplinary / dismissal / court;</li> <li>- Shared learning;</li> <li>- Information sharing agreement / DPA policy;</li> <li>- Caldicott Guardian - TR;</li> <li>- Automated message on log-on</li> </ul>	5	3	15	<ul style="list-style-type: none"> <li>- Reviewing toolkits / refresher training / reviewing guidance and training on GDPR requires regular refresher</li> </ul>	4	3	12		Tracie Rees	31.03.2019 Ongoing
<b>STRATEGIC AREA - City Development and Neighbourhoods</b>												
<b>5. Housing - Data Breaches</b> Increasing demand on staff capacity increases potential for errors which lead to data breaches	<ul style="list-style-type: none"> <li>- Sensitive data shared without permission;</li> <li>- ICO investigation and potential significant fines,</li> <li>- Reputational damage,</li> <li>- Decreased morale,</li> <li>- Decreased capacity as staff support investigation</li> </ul>	<ul style="list-style-type: none"> <li>- Staff training on-line mandatory programmes;</li> <li>- Reinforced notifications;</li> <li>- Formal process to manage breach, formal disciplinary procedures to manage process;</li> <li>- HR support;</li> <li>- Introducing technology to support staff undertaking their roles;</li> <li>- Channelling services on-line to allow customers to self serve;</li> <li>- Password protection mandatory;</li> <li>- Proactive recruitment and retention to maintain FTE levels;</li> <li>- Planned and organised approach to service changes;</li> <li>- Guidance on removal of autofill on email circulated due to number of breaches where this has been the cause</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- Ongoing programme of training and education;</li> <li>- Enhanced use of hardware;</li> <li>- Channel shift to promote self serve;</li> <li>- Streamlining of processes,</li> <li>- Review of service analysis / requirements,</li> <li>- Lessons learned review across council from Information Governance</li> <li>- Audit process to be implemented by Info Governance to identify weaknesses with PATs Service Areas</li> </ul>	4	4	16		Chris Burgin	31.03.2019
<b>6. Housing - Legislation</b> Change in Government legislation on council housing known to be coming but full details remain unclear	<ul style="list-style-type: none"> <li>- Requirement to increase stock significantly would likely be difficult to adhere to.</li> <li>- Current stock reducing through RTB with remaining stock primarily less desirable and needing increased maintenance investment; overcrowding may get worse</li> </ul>	<ul style="list-style-type: none"> <li>- Stock significance - housing company established - phase one agreed and implementation starts Jan 2019;</li> <li>- Homecome sourcing additional affordable lets;</li> <li>- New build included within affordable housing register (homechoice system);</li> <li>- Prioritised housing register to focus on those with greater need;</li> <li>- Under occupation project underway to review opportunities / availability of estate to meet needs and demands;</li> <li>- STEPT accommodation provision to support customer needs</li> </ul>	3	5	15	<ul style="list-style-type: none"> <li>- Phase 2 to be scoped following completion of Phase 1;</li> <li>- Social lettings agency option being considered to being unaffordable available accommodation in city;</li> <li>- Consider further prioritised needs assessment;</li> <li>- Establish tenant incentive scheme as part of under occupation project;</li> <li>- Pursue additional STEPT accommodation</li> </ul>	3	4	12		Chris Burgin	31.03.2019

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<p>What is the issue:</p> <p>what is the root cause/</p> <p>problem – what could go wrong</p>												
<p><b>7. Neighbourhood and Environmental Services - LACK OF ADEQUATE RESOURCE CAPACITY</b></p> <p>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.</p> <p>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"> <li>- Teams already at a minimum and extra workloads are unsustainable.</li> <li>- As demand-led services increase, workload and public expectations increase.</li> <li>- Likelihood of key person dependency as teams reduce further (fewer people in key roles).</li> <li>- Potential risk of non-compliance or breaches/lack of a substantial control environment.</li> <li>- Service delivery requirements not met.</li> <li>- Staff wellbeing may be harmed.</li> <li>- Reputational damage may result from unplanned building closures due to staff shortages.</li> <li>- Significant delay to decide and implement a solution could weigh heavily in any proceedings that would follow a serious incident.</li> </ul>	<ul style="list-style-type: none"> <li>- Existing prioritisation arrangements are in place.</li> <li>- Policies and procedures are in place.</li> <li>- Processes are in place.</li> <li>- Regular briefings and PDRs</li> <li>- Organisational review consultation process.</li> <li>- Managing expectations with senior officers / stakeholders</li> <li>- Accessing external grants</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- Building adequate criteria and expectations into Service Reviews</li> <li>- Income generation to fund service specific posts / resources</li> <li>- Better use of existing internal &amp; external resources (partnerships)</li> </ul>	3	3	9		John Leach	31.03.2019 Ongoing
<p><b>8. Neighbourhood and Environmental Services - BEAUMONT PARK DEPOT</b></p> <p>Condition of depot creating risks to service delivery, individuals working on site and visitors, situation identified in H&amp;S report in 2011. Previously requested in 2014 to be accommodated in Capital Programme. Strategic Director with Head of Finance moved to be dealt with as part of Depot Review passed for action to Director of EBS following site visit in Nov 2017. Options drawn up Feb 2018 but later abandoned. NES awaiting confirmed direction re resolution.</p>	<ul style="list-style-type: none"> <li>- Serious accident injury and or death to staff/member of public.</li> <li>- Reputational damage to LCC.</li> <li>- Insurance claims against the Council.</li> <li>- Legal challenge.</li> <li>- Media exposure.</li> <li>- Adverse effect on budget/finances.</li> <li>- Closure of premises, loss of service.</li> <li>- Breaches in legislation and/or non-compliance.</li> <li>- Demand led services may not be met.</li> <li>- Significant delay to decide and implement a solution could weigh heavily in any proceedings that would follow a serious incident.</li> </ul>	<ul style="list-style-type: none"> <li>- On going review of depot in-house Business Change Manager facilitating with E&amp;B. Undertaking options appraisal with input from Legal, Planning and Highways.</li> <li>- Building conditional surveys reviewed under the TNS Programme.</li> <li>- Agreed to manage outside of Depot review with separate budget allocation.</li> <li>- Dedicated Banksman employed to manage traffic movement on site.</li> <li>- All staff trained in banksman duty of care.</li> <li>- H&amp;S team undertake review of short term safety measures for pedestrians and vehicles on site.</li> </ul>	5	3	15	<ul style="list-style-type: none"> <li>- New site</li> <li>- Suitable adaptation of existing to accommodate operational practices and introduction of one way traffic system.</li> </ul>	4	2	8	Unknown at present	John Leach	31.03.19

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<p><b>9. Neighbourhood and Environmental Services - REDUCTION IN INCOME GENERATION PROGRAMMES</b></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"> <li>- Budgets are not adhered to.</li> <li>- Income streams continue to reduce (e.g. Building Regs) due to the economic climate.</li> <li>- Targets remain the same or increase, against income sources and staff reductions.</li> <li>- One off income is disclosed as recurring, increasing the savings gap.</li> <li>- Internal recharges, e.g. for community space, will reduce as services reorganise.</li> </ul>	<ul style="list-style-type: none"> <li>- Budgets are in place and alternative savings option appraisals are performed and saving plans are implemented.</li> <li>- Policies and procedures are in place.</li> <li>- Adhoc business development arrangements are in place.</li> <li>- An agreement is in place for withdrawal of internal services from community settings under the TNS programme.</li> <li>- Draw on external funding</li> </ul>	3	5	15	<ul style="list-style-type: none"> <li>- Introducing new ways of working to encourage entrepreneurial opportunities</li> <li>- External funding opportunities further explored</li> </ul>	2	4	8	N/A	John Leach	31.03.2019 Ongoing

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<p><b>10. Tourism, Culture &amp; Investment - Markets</b> 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 51% 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>- The public square will be used to attract footfall and the new screen will complete in spring 2019. - An investment programme for the outdoor market has been agreed by the City Mayor. - Revised price strategy has made it simpler and better value for money on certain days of the week.</p>	4	4	16	<p>- Carry out improvement programme and re-branding exercise to enhance environment and broaden customer base. - Attract new specialist markets and new traders in new lock up units. - New policy proposed to prioritise quality new commodities and reduce duplication will follow.</p>	3	4	12	Work to Market is urgently needed as without improvements new commodities cannot be expected	Mike Dalzell	31.03.2019 Ongoing
<p><b>11. Tourism, Culture &amp; Investment - Markets</b> The prevalence of incidents of anti-social behaviour in and around the Market area</p>	<p>- Public and Traders cease to use the Market because of the prevalence of ASB issues</p>	<p>- Inspectors regularly patrol</p>	4	4	16	<p>- Market rules are complemented with zero tolerance. Security staff are engaged. Make frequent Police Patrols</p>	2	3	6	£40,000pa Cost not budgeted for.	Mike Dalzell	31.03.2019 Ongoing
<p><b>12. Tourism, Culture &amp; Investment - De Montfort Hall</b> 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</p>	<p>- Loss of income - Loss of reputation - Negative PR.</p>	<p>- 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.</p>	5	3	15	<p>- Works procured but cannot be carried out until Aug 2019. - Mitigation and controls to be put in place reduce risk of failure in meantime.</p>	5	2	10	Mitigation in place for 2hr callout until works can be undertaken..	Mike Dalzell	31.03.2019 Ongoing

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<p><b>13. Tourism, Culture &amp; Investment - De Montfort Hall</b> 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>	<p>- Loss of income, loss of reputation, negative PR.</p>	<p>- 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.</p>	5	3	15	<p>- Replacement took place during summer,2018. - Now operational and appears reliable, although some minor adjustments still required to software,</p>	5	1	5	circa £100k. Funded via EBS capital.	Mike Dalzell	31.03.2019 Ongoing
<b>STRATEGIC AREA - Corporate Resources and Support</b>												
<p><b>14. Delivery, Communications and Political Governance - UNPLANNED ELECTION EVENT</b> 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>Ability to deliver planned elections severely compromised by short notice unplanned elections e.g. snap general election due to current Brexit issues or a further referendum relating to Brexit</p>	<p>- Elections not performed appropriately/challenges received and elections may have to be re-run. - Impacts on delivery of planned elections - Reputational damage. - Adverse effect on finances. - Media coverage. - Public complaints. - Increase in resource requirements. - Could lead to increased expectations on the existing trained core team, who hold relevant and detailed knowledge. - The potential repetition of impacts and pressures that arose during 2011 elections. - 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. - Insurance is in place. - 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 - 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. - Electoral Commission guidance gives detailed support in the planning and management of each specific type of elections. - 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 - 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. - Detailed debriefs have been done after each election in recent years and used to feed into planning for future elections.</p>	5	4	20	<p>- Continue to develop skills and expertise across the wider electoral services team including completion of formal training &amp; qualifications - a number of staff undertaking relevant qualifications. - Use external or peer support where feasible e.g. from other local authorities. - Consider training/up-skilling a pool of contingency staff. - Keep under review staffing skills and expertise within the team and more widely</p>	4	3	12		Miranda Cannon	31.03.2019 Ongoing

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<p><b>15. Delivery, Communications and Political Governance - HR System Implementation</b> Implementation of the new HR system goes over budget / timescales or system cannot meet requirements and fails to achieve desired outcomes and benefits</p>	<ul style="list-style-type: none"> <li>- Ability to deliver the core HR service is compromised</li> <li>- Critical data / information is lost</li> <li>- Statutory requirements such as HMRC and other returns cannot be achieved</li> <li>- Increased costs to the service including risk of fines where statutory requirements cannot be met e.g. pensions returns</li> <li>- Reputational damage</li> <li>- Pressure on staff resulting from the need to work in the absence of an effective system</li> <li>- Staff are not paid correctly (under or overpayments) creating additional work for Payroll and dissatisfaction amongst affected staff</li> <li>- Other errors occur e.g. calculation of annual leave creating additional work for BSC and dissatisfaction amongst staff/TUs</li> </ul>	<ul style="list-style-type: none"> <li>- Project Manager and Project Board in place. Close involvement of key areas including ICT Procurement, BSC, ICT</li> <li>- 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.</li> <li>- Recruitment removed from scope and re-tendered in light of failure by supplier to deliver. A newly procured system has been implemented and went live in Jan 2019 (see further risk below)</li> <li>- Core HR/Payroll system whilst live is incomplete in terms of functionality versus ITT, SLAs for support are not being met and there continue to be a significant number of live issues which are not being addressed</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- Determine next course of action with the supplier in relation to settlement and the live system. Continue to progress contingency / business continuity options</li> </ul>	4	4	16		Miranda Canon	28.02.2019

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<p><b>16. Delivery, Communications and Political Governance - LEGAL CHALLENGES PARTICULARLY RELATED TO PSED/CONSULTATION/EMPLOYMENT</b></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><b>Risk:</b> 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"> <li>- 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.</li> <li>- Equalities Impact Assessments cannot address all potential areas of legal challenge on Public Sector Equality Duty grounds.</li> <li>- Lack of legal expertise/appropriate resources.</li> <li>- Potential for legal challenge/judicial review by providers, staff, service users, etc.</li> <li>- Reputational damage/media exposure.</li> <li>- Unplanned adverse effect on budget/finance</li> <li>- Resource intensive to defend legal challenges/judicial reviews.</li> <li>- Unrealistic public/political expectations</li> </ul>	<ul style="list-style-type: none"> <li>- 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.</li> <li>- 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.</li> <li>- Expert support e.g. HR, equalities, consultation in place with supporting guidance.</li> <li>- 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.</li> <li>- Community engagement fund developed to support work with the VCS in support of meeting our PSED</li> <li>- Consultation training with a focus on the legal risks undertaken by the Comms and Equalities Teams</li> <li>- Equality Strategy and action plan approved by Council in June 2018 and work underway second quarterly review completed and progress is on track</li> <li>- Work underway on supporting equalities tools and guidance and revamp of the offer on the intranet completed</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- 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.</li> <li>- Ensure the correct resources, with the relevant skills and experience are allocated to roles.</li> <li>- Ensure HR support is available.</li> <li>- Delivery of EIA workshops and provide further guidance/templates if appropriate/needed in light of those workshops</li> </ul>	4	3	12		Miranda Cannon	31.03.2018 Ongoing
<p><b>17. Finance - Corporate Fraud</b></p> <p>Failure or inability to effectively detect, prevent, investigate and deal with corporate fraud.</p>	<ul style="list-style-type: none"> <li>- Reputational damage</li> <li>- Potential for losses in £millions</li> <li>- Investigations not effectively carried out</li> <li>- Fraud difficult to quantify so cannot always evidence effective outcomes</li> </ul>	<ul style="list-style-type: none"> <li>- Corporate Fraud Team has accredited financial investigator</li> <li>- Good engagement with Police Financial Crime Unit</li> <li>- Recruitment to posts</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>- Aiming to implement seconded Police officer</li> </ul>	5	4	20		Alison Greenhill	31.03.2019
<p><b>18. Finance - Information and Customer Access - Cyber Security</b></p> <p>Increasing profile and expertise to circumvent established defences increase vulnerability of LCC data.</p>	<ul style="list-style-type: none"> <li>- Data hacked and released into public domain;</li> <li>- Reputational damage - seek alternative more expensive solutions;</li> <li>- Fines from ICO;</li> <li>- Staff stress increases;</li> <li>- Damage to identified individuals;</li> <li>- Denial of service</li> </ul>	<ul style="list-style-type: none"> <li>- Technology defences;</li> <li>- Awareness campaign;</li> <li>- Targeted follow up's;</li> <li>- Built into new system standards from 3rd party applications (secure passwords, TLS);</li> <li>- Daily back-up of systems</li> </ul>	4	5	20	<ul style="list-style-type: none"> <li>- Technology solutions, requires cost effective considerations;</li> <li>- Continued awareness training etc..</li> </ul>	4	5	20		Alison Greenhill	31.03.2019 Ongoing



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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p><b>19. Finance - Financial Challenges</b> 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 and 19/20. 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</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		Alison Greenhill	31/03/2019/2020 and On-going
<p><b>20. Finance - Tactical Decision Making</b> Business solutions considered by services, which impact upon Information Services service delivery, are taken without consultation or considering the impact</p>	<p>- 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;</p>	<p>- 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;</p>	4	4	16	<p>- Monitor effectiveness of identified mitigations to determine future actions / plan</p>	4	4	16		Alison Greenhill	31.03.2019 Ongoing

## Appendix 4 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/01/2019

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><b>21. Finance - Introduction of Universal Credit (UC) Full Service LEGISLATION</b> - 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"> <li>- Rent policy and collection arrangements will be challenging ( different impact to rent arrears)</li> <li>- Housing policies and procedures will require review</li> <li>- Potential need to increase allocated staff resources</li> <li>- Rental payments are delayed thus arrears build up leading to financial consequences for the Authority, Housing Associations&amp; Private landlords</li> <li>- Financial consequences in £m</li> <li>- Increase to bad debt provision (Rent £2m arrears &amp; CT £3.5m in year collection loss)</li> <li>- Reputational damage</li> <li>- Demand for Crisis Support will increase (est 200%)</li> <li>- Demand for Social Welfare Advice will increase (12.5%)</li> <li>- Demand upon Discretionary funding may exceed Government budget Allowance.</li> <li>- Demand for Council Tax Discretionary Relief (CTDR) support may exceed budget</li> <li>- Waiting and assessment periods, sanctions and compliance requirements will lead to delays in first payments and monthly reassessments of entitlement will be carried out</li> <li>- Monthly payments of a combined standard award and housing element paid directly to the claimant, unless alternative arrangements applied for and eligibility criteria met.</li> </ul>	<ul style="list-style-type: none"> <li>- LCC have a UC support strategy, risk log, Equality Impact Assessments with associated comms and action plans</li> <li>- Housing Service are developing a UC Full Service impact strategy, reviewing and developing a Homelessness prevention policy</li> <li>- Housing Options are monitoring the occurrences of this phenomenon</li> <li>- Detailed comms and action plans have been created by both Revenues &amp; Customer Support &amp; Housing</li> <li>- Comprehensive engagement programme is in place with commissioned providers to alert them to the increase in demand.</li> <li>- Every commissioned service has a business continuity plan which can be deployed should demand outstrip provision.</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- Effective and repetitive communication campaign</li> <li>- 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.</li> <li>- Social Welfare advice -discussions ongoing at the Strategic SWAP (Social Welfare Advice Partnership) group re the identification and management of demand</li> <li>- Recognition of increased demand for crisis support- Engagement with provider, Action Homeless, actions within their Business continuity planning.</li> <li>- DHP (Discretionary Housing Payments)/CTDR potential to request consideration of additional resources from Exec.</li> <li>- Reputational damage should be defendable as this is a DWP benefit and the local authority has no control over the timetable or administrative processes for this change.</li> </ul>	3	4	12	<p>£2m Rent arrears</p> <p>£0.5m Grant loss</p> <p>£3.6m CT loss</p>	Alison Greenhill	31.03.2019 Ongoing



## Appendix 4 - Leicester City Council Operational Risk Register

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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			
<p><b>22. Finance- BSC - Payroll Service</b> 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>	<ul style="list-style-type: none"> <li>- Reputational damage - potentially huge. Noting reputational damage with Harborough DC &amp; Leicestershire Cares</li> <li>- Approx. 16,500 employees, councillors and external customers not paid/incorrectly paid on a monthly basis</li> <li>- Requirement for emergency payments due to financial hardship</li> <li>- Financial compensation for bank charges imposed on employees, councillors and external customers</li> </ul>	<ul style="list-style-type: none"> <li>- SAFE EMS systems provided by SAFE Computing, 20 Freeschool Lane, Leicester LE1 4FY are retaining expertise from SAFE ownership</li> <li>- Escrow Agreement (49000) with NCC Group</li> <li>- Payroll Services BCP in place, lead Cory Laywood</li> <li>- Line by line manual checks of the payroll extracts from the SAFE system</li> </ul>	3	5	15	<ul style="list-style-type: none"> <li>- Occasional testing of BCP plan</li> <li>- Using BAU processes to deal with under or over payments</li> <li>- Additional checking processes before the final BACS run</li> <li>- Smart reporting to test for known issues</li> </ul>	3	4	12	20% of monthly net pay at £18m	Alison Greenhill	31.03.19 & ongoing
<p><b>23. Legal - Workloads &amp; Pressure - Client Care</b> Services within the Council are stretched with increased demands and pressures. Unrealistic deadlines at times can be set for major projects, procurement and contracts. There is a concern that whilst corporate policy is correct and general awareness of correct procedures/rules exists, it may not be implemented effectively within services.</p>	<ul style="list-style-type: none"> <li>- Timely legal advice from clients not sought.</li> <li>- Failure to comply with laid down guidelines.</li> <li>- Breach of regulations or law e.g. data protection.</li> <li>- Council found to act unlawfully.</li> <li>- Challenges to procurement processes.</li> <li>- Cost implications from requirements not being followed/deadlines being missed/ not delivering value for money for Council.</li> <li>- Award made against council etc.</li> <li>- Staff demotivated</li> <li>- Negative Press/Reputation of Council</li> </ul>	<ul style="list-style-type: none"> <li>- Reviewing practices to be improve flexibility of approach.</li> <li>- Channel Shift.</li> <li>- Raising awareness - corporate messages.</li> <li>- Early engagement - feeding into deadlines.</li> <li>- Attending project boards.</li> <li>- Projects to look at new ways of working.</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- Completion of review of practices by September 2019.</li> <li>- Improved use of technology e.g. Electronic Signatures/Virtual Hearings/Channel Shifts (Corporate Channel shift program - March 2019).</li> <li>- Need to increase comms program/training and awareness of current practices (deadlines with project plan).</li> </ul>	4	3	12		Kamal Adatia	31/03/19
<p><b>STRATEGIC AREA - Education and Children's Services</b></p>												
<p><b>24. Children's Social Care and Early Help - Budget</b> Loss and / or reduction of services to achieve budget savings</p>	<ul style="list-style-type: none"> <li>- Reduction in preventative services impacting on ability to deliver Statutory services;</li> <li>- Inability to deliver Placement Sufficiency;</li> <li>- Decrease Capacity / Increase demand;</li> <li>- Potential reduction of staffing levels;</li> <li>- Limited ability to deliver some front line services;</li> <li>- Potential for future claims against authority</li> </ul>	<ul style="list-style-type: none"> <li>- Transformation board oversees all budget reduction projects;</li> <li>- Strategic Oversight;</li> <li>- Clear governance arrangements</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>- Star Chamber presentation re: undeliverable savings</li> </ul>					Caroline Tote	31.03.2019

## Appendix 4 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/01/2019

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			
<b>25. Children's Social Care and Early Help - GDPR</b> 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	31.03.2019
<b>26. Learning Services - Financial Deficit</b> A rising number of LA maintained schools are reporting financial deficits.	- Schools carrying significant financial deficits present a financial risk to the Council unless they are quickly supported to bring deficits back to a balanced budget position. - The LA has limited capacity to intervene in schools in deficit.	- A School Finance Group meets monthly to receive reports on the current position in relation to school budgets. - Schools receive letters requesting reassurances once deficits are notified and are required to apply for a licenced deficit in certain circumstances. - An independent business manager is also appointed in some instances, to help the schools concerned address their budget deficits	4	4	16	- Investigate further options such as additional capacity to support schools via more hours allocated for school business manager support.	4	3	12		Paul Tinsley	31.03.2019
<b>27. Learning Services - External Management</b> External competition continues to threaten the future viability of the City Catering Service	- If the current rate of decline continues then the service will soon begin to make a loss. - City Catering Service losing business. - Impact on other services due to the difference being picked up by the General Fund affecting delivery of those other services	- Discussions with school business managers and report commissioned from APSE consultant	4	4	16	- Prepare options paper to take to Executive	3	4	12		Paul Tinsley	31.03.2019
<b>28. Strategic Commissioning and Business Development -</b> 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 <a href="http://www.childrensworkforce/">www.childrensworkforce/</a> 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	31.03.2019

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What is the issue:			(See Scoring Table)				(See Scoring Table)					
what is the root cause/												
problem – what could go wrong												
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<b>STRATEGIC AREA - Public Health</b>												
<b>29. Budget - External Influences</b> External national imperatives without associated budget introduced which will impact on local delivery.	<ul style="list-style-type: none"> <li>- Call on finances from NHS pay award;</li> <li>- Changes in financial call due to changes in clinical requirements/fluctuations in drug/treatment market prices;</li> <li>- Prioritisation / decommissioning / reduction of existing service delivery model</li> </ul>	<ul style="list-style-type: none"> <li>- Internal decision making process;</li> <li>- Expertise within team to assess choices and inform management briefings / options appraisal;</li> <li>- Advocacy by Director Public Health (DPH) with national bodies;</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- Political escalation;</li> <li>- Corporate responsibility;</li> <li>- Service &amp; budget planning</li> <li>- Utilise partnership approach</li> <li>- Explore alternative treatment/therapy options</li> </ul>	4	4	16		Ivan Browne	31.03.2019
<b>30. Budget Restrictions - Commissioning</b> Reduced budget for services impacts on financial viability to potential 3rd party contractors who may deem may package to be unsustainable.	<ul style="list-style-type: none"> <li>- Loss of existing contractors unable to fulfil contracts within reducing financial envelope;</li> <li>- May not be attractive to new providers during tenders; risk of failed procurement</li> <li>- Loss of service provision;</li> <li>- Impact on community who require service;</li> <li>- Impact on NHS as demand increases for other services;</li> <li>- Decreased morale;</li> <li>- Reputational damage to LCC</li> </ul>	<ul style="list-style-type: none"> <li>- Bespoke procurement methods;</li> <li>- Briefing of lead members to highlight potential risks and consequences;</li> <li>- Internal decision making process;</li> <li>- Expertise within team to assess choices and inform management briefings / options appraisal;</li> <li>- Advocacy by Director Public Health (DPH) with national bodies;</li> <li>- Provider negotiations;</li> <li>- Working with internal departments (legal / procurement / contract management/ finance)</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- Continue with existing controls;</li> <li>- Explore joint commissioning (internal with LCC, and external with county and regionally)</li> <li>- Implement management of change processes</li> <li>- Accept new and novel approaches to commissioning including encouraging consortium applications</li> </ul>	4	3	12		Ivan Browne	31.03.2019
<b>31. Technology</b> Systems / technology not fit for purpose to support services and commercial objectives, lack of IT knowledge.	<ul style="list-style-type: none"> <li>- Inability to achieve savings targets;</li> <li>- Service delivery remains static or not effective</li> <li>- Reduced morale of staff seeking organisational development and progress</li> <li>- Reputational damage</li> <li>- Lack of system integration</li> <li>- Customer dissatisfaction</li> <li>- Loss of income</li> <li>- Legal challenges</li> </ul>	<ul style="list-style-type: none"> <li>- Realistic business plans and objectives set based on current technology capabilities</li> <li>- Project team involvement in new system deployment which impacts on service delivery</li> <li>- Communications with service users to manage expectations</li> <li>- Discussions with IT to understand potential development opportunities for systems in future</li> <li>- Working with IT to ensure sufficient testing of new system takes place;</li> <li>- Scrutiny of current systems to review concerns</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- Project group with IT to establish problems / limitations of current systems and review options on market as solutions</li> <li>- Ensure adequate engagement of CCG/ HIS to ensure systems run as effectively as possible</li> </ul>	3	4	12		Ivan Browne	31.03.2019

## Appendix 4 - Leicester City Council Operational Risk Register

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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			
<b>32. Budget Restrictions - Funding</b> 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.	<ul style="list-style-type: none"> <li>- Change in service provision;</li> <li>- Decreased / ceased service /user contact;</li> <li>- Decreased / ceased service effectiveness;</li> <li>- Reputational damage;</li> <li>- Increased demand on other public services (primary / secondary health care / Social Care / Leisure Centres);</li> <li>- Risk of missing safeguarding issues;</li> <li>- Impact on council statutory duties;</li> <li>- Judicial review;</li> <li>- Central government intervention</li> </ul>	<ul style="list-style-type: none"> <li>- PH Return to Central Government (Return On Investment (ROI));</li> <li>- Staffing restructure;</li> <li>- Invest to save opportunities explored;</li> <li>- Internal briefings / decision making process;</li> <li>- Political support;</li> <li>- Articulating associated risks;</li> <li>- Scrutiny;</li> <li>- Clinical Governance Process in place;</li> <li>- Monitoring to identify adverse effects</li> </ul>	3	5	15	Continue with existing controls; - Secure additional revenue e.g. income generation through commercial opportunities -Continue to explore a variety of potential local and national funding opportunities including commercial, government, academic, grant funding, -Utilise in kind support/asset sharing where possible	3	4	12		Ivan Browne	31.03.2019
<b>33. Public Health - Contract Management</b> Dilution of resources within Contract Management Service appear to impact on Public Health specific support for all elements of contract management	<ul style="list-style-type: none"> <li>- Delay in process leads to delay delivering identified actions;</li> <li>- Current assurance practices are not sufficiently robust;</li> <li>- Service delivery impact;</li> <li>- Negative impact on service user;</li> <li>- Reputational damage;</li> <li>- Impact on PH team capacity</li> </ul>	<ul style="list-style-type: none"> <li>- Management through performance review group;</li> <li>- Concern escalations;</li> <li>- Service ownership / involvement in contract meetings;</li> </ul>	3	5	15	- Development of SLA; - Ongoing provider/client satisfaction feedback - Liaising with new contract managers to fully understand PH services - Awaiting DMT decision on actions	1	1	1		Ivan Browne	31/03/19

## Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/01/19

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:												
what is the root cause/												
problem – what could go wrong												
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<b>STRATEGIC AREA - Adult Social Care</b>												
<b>1. Care Services &amp; Commissioning (ASC) - Budget - Compliance</b> Lack of budget / resources to comply with changes in DOLs legislation	- DOLs assessments not carried out; - potential for individuals to be illegally deprived of their liberty, for safeguarding due to lack of oversight and for legal claims against LCC, and fines.	- <b>Following legal advice from a Barrister, Leadership has agreed a revised prioritisation system that is reviewed regularly.</b> - <b>Use of Independent BIAs</b> - Use of form 3b; - Development of internal staff (Social workers - BIA)	4	4	16	- <b>Report to Exec - seeking additional funding for 12month project.</b>	4	3	12		Tracie Rees	<b><u>31.03.2019</u></b> <b><u>Ongoing</u></b>
<b>2. Care Services &amp; Commissioning (ASC) - Mental Health - Statutory Duty</b> LCC is legally obliged under the Mental Health Act (MHA) to provide 24/7 service	- 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.	- 24/7 rota reviewed with AMPs and Unions and due for implementations shortly; - using non-AMPs for appropriate functions	4	4	16	- Management support to AMHPs; - Continue to consider options for recruitment. - Continue to escalate. - <b>Pilot of new 7 day rota commenced 01.09.2018 and was reviewed at the end Nov 2018, but issue of cover still not resolved.</b> - <b>Review to be completed to change ToC.</b> - <b>Meantime the risk remains high as the council may not be able to undertake its statutory duty.</b>	4	3	12		Tracie Rees	<b><u>31.03.2019</u></b> <b><u>Ongoing</u></b>
<b>3. Care Services &amp; Commissioning (ASC) - Salary enhancements - BIAs</b> 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. - <b>JE in progress with corporate JE team.</b>	4	4	16						Tracie Rees	<b><u>31.03.2019</u></b> <b><u>Ongoing</u></b>



## Appendix 4a - Leicester City Council Operational Risk Register

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What is the issue:												
what is the root cause/												
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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<b>4. Care Services &amp; Commissioning (ASC) - Data breach</b> 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	<a href="#">31.03.2019 Ongoing</a>
<b>STRATEGIC AREA - City Development and Neighbourhoods</b>												
<b>5. Housing - Data Breaches</b> 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; - <a href="#">Guidance on removal of autofill on email circulated due to number of breaches where this has been the cause</a>	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 - <a href="#">Audit process to be implemented by Info Governance to identify weaknesses with PATs Service Areas</a>	4	4	16		Chris Burgin	<a href="#">31.03.2019</a>

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<p><b>6. Housing - Legislation</b> Change in Government legislation on council housing known to be coming but full details remain unclear</p>	<ul style="list-style-type: none"> <li>- Requirement to increase stock significantly would likely be difficult to adhere to.</li> <li>- Current stock reducing through RTB with remaining stock primarily less desirable and needing increased maintenance investment; overcrowding may get worse</li> </ul>	<ul style="list-style-type: none"> <li>- Stock significance - housing company established - phase one agreed and implementation starts Jan 2019;</li> <li>- Homecome sourcing additional affordable lets;</li> <li>- New build included within affordable housing register (homechoice system);</li> <li>- Prioritised housing register to focus on those with greater need;</li> <li>- Under occupation project underway to review opportunities / availability of estate to meet needs and demands;</li> <li>- STEPT accommodation provision to support customer needs</li> </ul>	3	5	15	<ul style="list-style-type: none"> <li>- Phase 2 to be scoped following completion of Phase 1;</li> <li>- Social lettings agency option being considered to being unaffordable available accommodation in city;</li> <li>- Consider further prioritised needs assessment;</li> <li>- Establish tenant incentive scheme as part of under occupation project;</li> <li>- Pursue additional STEPT accommodation</li> </ul>	3	4	12		Chris Burgin	<u>31.03.2019</u>
<p><b>7. Neighbourhood and Environmental Services - LACK OF ADEQUATE RESOURCE CAPACITY</b> 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"> <li>- Teams already at a minimum and extra workloads are unsustainable.</li> <li>- As demand-led services increase, workload and public expectations increase.</li> <li>- Likelihood of key person dependency as teams reduce further (fewer people in key roles).</li> <li>- Potential risk of non-compliance or breaches/lack of a substantial control environment.</li> <li>- Service delivery requirements not met.</li> <li>- Staff wellbeing may be harmed.</li> <li>- Reputational damage may result from unplanned building closures due to staff shortages.</li> </ul>	<ul style="list-style-type: none"> <li>- Existing prioritisation arrangements are in place.</li> <li>- Policies and procedures are in place.</li> <li>- Processes are in place.</li> <li>- Regular briefings and PDRs</li> <li>- Organisational review consultation process.</li> <li>- <u>Managing expectations with senior officers / stakeholders</u></li> <li>- <u>Accessing external grants</u></li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- <u>Building adequate criteria and expectations into Service Reviews</u></li> <li>- <u>Income generation to fund service specific posts / resources</u></li> <li>- <u>Better use of existing internal &amp; external resources (partnerships)</u></li> <li>- <u>Review of succession planning is to be conducted.</u></li> <li>- <u>Need to assess the service demand against the resource availability to understand impacts and generate action plans.</u></li> <li>- <u>Develop further prioritisation arrangements.</u></li> <li>- <u>Continually assess through performance appraisals and individuals one to ones.</u></li> <li>- <u>Need to plan work rather than be reactive, put in place "response times" for undertaking work.</u></li> </ul>	3	<u>3</u>	<u>9</u>		John Leach	<u>31.03.2019</u> <u>Ongoing</u>

## Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/01/19

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p><b>8. Neighbourhood and Environmental Services - BEAUMONT PARK DEPOT</b> Condition of depot creating risks to service delivery, individuals working on site and visitors, situation identified in H&amp;S report in 2011. <u>Previously requested in 2014 to be accommodated in Capital Programme. Strategic Director with Head of Finance moved to be dealt with as part of Depot Review passed for action to Director of EBS following site visit in Nov 2017. Options drawn up Feb 2018 but later abandoned. NES awaiting confirmed direction re resolution.</u></p>	<ul style="list-style-type: none"> <li>- Serious accident injury and or death to staff/member of public.</li> <li>- Reputational damage to LCC.</li> <li>- Insurance claims against the Council.</li> <li>- Legal challenge.</li> <li>- Media exposure.</li> <li>- Adverse effect on budget/finances.</li> <li>- Closure of premises, loss of service.</li> <li>- Breaches in legislation and/or non-compliance.</li> <li>- Demand led services may not be met.</li> </ul> <p><u>- Significant delay to decide and implement a solution could weigh heavily in any proceedings that would follow a serious incident.</u></p>	<ul style="list-style-type: none"> <li>- On going review of depot in-house Business Change Manager facilitating with E&amp;B.</li> <li>- Undertaking options appraisal with input from Legal, Planning and Highways.</li> <li>- Building conditional surveys reviewed under the TNS Programme.</li> <li>- Agreed to manage outside of Depot review with separate budget allocation.</li> <li>- Dedicated Banksman employed to manage traffic movement on site.</li> <li>- All staff trained in banksman duty of care.</li> <li>- H&amp;S team undertake review of short term safety measures for pedestrians and vehicles on site.</li> </ul>	5	3	15	<p><u>- New site</u> <u>- Suitable adaptation of existing to accommodate operational practices and introduction of one way traffic system.</u></p> <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&amp;OS HOS requested priority vehicle access works as part of Depot £1m project at meeting with Director E&amp;B 10 May 2018. Still no agreed action to resolve. Site visit undertaken 26 September 2018 with H&amp;S Manager to review and recommendations provided to Strategic Director. Agreed operational actions completed. Excerpt of Risk Register sent to Strategic Director.</p>	4	2	8	Unknown at present	John Leach	<u>31.03.19</u>

## Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/01/19

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
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p><b>9. Neighbourhood and Environmental Services - REDUCTION IN INCOME GENERATION PROGRAMMES</b></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. 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.</p>	<ul style="list-style-type: none"> <li>- Budgets are not adhered to.</li> <li>- Income streams continue to reduce (e.g. Building Regs) due to the economic climate.</li> <li>- Targets remain the same or increase, against income sources and staff reductions.</li> <li>- One off income is disclosed as recurring, increasing the savings gap.</li> <li>- Internal recharges, e.g. for community space, will reduce as services reorganise.</li> </ul>	<ul style="list-style-type: none"> <li>- Budgets are in place and alternative savings option appraisals are performed and saving plans are implemented.</li> <li>- Policies and procedures are in place.</li> <li>- Adhoc business development arrangements are in place.</li> <li>- An agreement is in place for withdrawal of internal services from community settings under the TNS programme.</li> <li><u><b>- Draw on external funding</b></u></li> </ul>	3	5	15	<ul style="list-style-type: none"> <li><u><b>- Introducing new ways of working to encourage entrepreneurial opportunities</b></u></li> <li><u><b>- External funding opportunities further explored</b></u></li> </ul> <p>–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&amp;C options. –Larger shared service for Building Control – Roman developing assessment re feasibility.</p>	2	4	8	N/A	John Leach	<u><b>31.03.2019 Ongoing</b></u>
<p><b>10. Tourism, Culture &amp; Investment - Markets</b></p> <p>Risk relating to trader attrition and inability to attract new traders particularly during the market improvement works</p>	<ul style="list-style-type: none"> <li>- Trader occupancy rates currently sit at 51% 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.</li> <li>- Ongoing regeneration in the Market will, it is hoped, halt the reduction in traders</li> </ul>	<ul style="list-style-type: none"> <li>–The new screen will be potentially completed on 02/19 and will be used to attract footfall to the area to encourage sales.–</li> <li>–Improvement work to the Market is on-going, but expected to start 10/2018.</li> <li><u><b>–The public square will be used to attract footfall and the new screen will complete in spring 2019.</b></u></li> <li><u><b>- An investment programme for the outdoor market has been agreed by the City Mayor.</b></u></li> <li><u><b>- Revised price strategy has made it simpler and better value for money on certain days of the week.</b></u></li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- Review and analysis of market traders likelihood to leave the market undertaken and can be provided as evidence.–</li> <li>–Carry out revised regeneration works and encourage specific commodities.</li> </ul> <p><u><b>–Carry out improvement programme and re-branding exercise to enhance environment and broaden customer base.</b></u></p> <p><u><b>- Attract new specialist markets and new traders in new lock up units.</b></u></p> <p><u><b>- New policy proposed to prioritise quality new commodities and reduce duplication will follow.</b></u></p>	3	4	12	<u><b>Work to Market is urgently needed as without improvements new commodities cannot be expected</b></u>	Mike Dalzell	<u><b>31.03.2019 Ongoing</b></u>

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<b>11. Tourism, Culture &amp; Investment - Markets</b> 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 – <b>£40,000pa Cost not budgeted for.</b>	Mike Dalzell	<b>31.03.2019 Ongoing</b>
<b>12. Tourism, Culture &amp; Investment - De Montfort Hall</b> - 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.	5	2	10	Mitigation in place for 2hr callout until works can be undertaken..	Mike Dalzell	<b>31.03.2019 Ongoing</b>

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what is the root cause/												
problem – what could go wrong			(See Scoring Table)	(See Scoring Table)								
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p><b>13. Tourism, Culture &amp; Investment - De Montfort Hall</b> 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>	<ul style="list-style-type: none"> <li>- Loss of income</li> <li>- Loss of reputation</li> <li>- Negative PR.</li> </ul>	<ul style="list-style-type: none"> <li>- Responsibility for maintenance of the flying bars has rested with DMH until recently.</li> <li>- The recent condition report commissioned by Theatre Plan, suggest that the flying bars will fail in 12-18 months.</li> <li>- Approximate cost of replacement would be £200k.</li> <li>- Further investigation is required.</li> <li>- EBS will struggle to fund from maintenance budgets.</li> </ul>	5	3	15	<p>- Replacement took place during summer, 2018 however teething problems persist.</p> <p><del>- EBS working with contractor to resolve.</del></p> <p><u>- Now operational and appears reliable, although some minor adjustments still required to software.</u></p>	5	<u>1</u>	<u>5</u>	<p>Circa £100k. Funded via EBS capital.</p>	Mike Dalzell	<p><u>31.03.2019</u> <u>Ongoing</u></p>

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what is the root cause/								
problem – what could go wrong			(See Scoring Table)		(See Scoring Table)			
			Impact Likelihood Risk		Impact Likelihood Risk			

### STRATEGIC AREA - Corporate Resources and Support

<p><b>14. Delivery, Communications and Political Governance - UNPLANNED ELECTION EVENT</b></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><u><b>- Ability to deliver planned elections severely compromised by short notice unplanned elections e.g. snap general election due to current Brexit issues or a further referendum relating to Brexit</b></u></p>	<p>- Elections not performed appropriately/challenges received and elections may have to be re-run.</p> <p><u><b>- Impacts on delivery of planned elections</b></u></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 each election in recent years and used to feed into planning for future elections.</p>	5	4	20	<p>- Continue to develop skills and expertise across the wider electoral services team including completion of formal training &amp; 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		Miranda Cannon	<u><b>31.03.2019</b></u> <u><b>Ongoing</b></u>
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Risks as at: 31/01/19

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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><b>15. Delivery, Communications and Political Governance - HR System Implementation</b>                      Implementation of the new HR system goes over budget / timescales or system cannot meet requirements and fails to achieve desired outcomes and benefits</p>	<ul style="list-style-type: none"> <li>- Ability to deliver the core HR service is compromised</li> <li>- Critical data / information is lost</li> <li>- Statutory requirements such as HMRC and other returns cannot be achieved</li> <li>- Increased costs to the service including risk of fines where statutory requirements cannot be met e.g. pensions returns</li> <li>- Reputational damage</li> <li>- Pressure on staff resulting from the need to work in the absence of an effective system</li> <li>- Staff are not paid correctly (under or overpayments) creating additional work for Payroll and dissatisfaction amongst affected staff</li> <li>- Other errors occur e.g. calculation of annual leave creating additional work for BSC and dissatisfaction amongst staff/TUs</li> </ul>	<ul style="list-style-type: none"> <li>- Project Manager and Project Board in place. Close involvement of key areas including ICT Procurement, BSC, ICT</li> <li>- 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.</li> <li>- 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 <u>A newly procured system has been implemented and went live in Jan 2019</u> (see further risk below)</li> <li><del>- 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 current time. Work on next phases of implementation also not progressing specifically case management, reporting and Health and Safety. Pension returns were completed but only as a result of considerable LCC input.</del></li> <li><u>- Core HR/Payroll system whilst live is incomplete in terms of functionality versus ITT, SLAs for support are not being met and there continue to be a significant number of live issues which are not being addressed</u></li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- Determine next course of action with the supplier in relation to settlement and the live system. Continue to progress contingency / business continuity options</li> </ul>	4	4	16		Miranda Canon	<u>28.02.2019</u>



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What is the issue:			(See Scoring Table)				(See Scoring Table)					
what is the root cause/												
problem – what could go wrong			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p><b>16. Delivery, Communications and Political Governance - LEGAL CHALLENGES PARTICULARLY RELATED TO PSED/CONSULTATION/EMPLOYMENT</b></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><b>Risk:</b> 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"> <li>- 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.</li> <li>- Equalities Impact Assessments cannot address all potential areas of legal challenge on Public Sector Equality Duty grounds.</li> <li>- Lack of legal expertise/appropriate resources.</li> <li>- Potential for legal challenge/judicial review by providers, staff, service users, etc.</li> <li>- Reputational damage/media exposure.</li> <li>- Unplanned adverse effect on budget/finance</li> <li>- Resource intensive to defend legal challenges/judicial reviews.</li> <li>- Unrealistic public/political expectations</li> </ul>	<ul style="list-style-type: none"> <li>- 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.</li> <li>- 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.</li> <li>- Expert support e.g. HR, equalities, consultation in place with supporting guidance.</li> <li>- 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.</li> <li>- Community engagement fund developed to support work with the VCS in support of meeting our PSED</li> <li>- Consultation training with a focus on the legal risks undertaken by the Comms and Equalities Teams</li> <li>- Equality Strategy and action plan approved by Council in June 2018 and work underway - <del>first</del> <b>second</b> quarterly review completed and progress is on track</li> <li>- Work underway on supporting equalities tools and guidance and revamp of the offer on the intranet completed</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- 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.</li> <li>- Ensure the correct resources, with the relevant skills and experience are allocated to roles.</li> <li>- Ensure HR support is available.</li> <li>- Delivery of EIA workshops and provide further guidance/templates if appropriate/needed in light of those workshops</li> </ul>	4	3	12		Miranda Cannon	<b><u>31.03.2018</u></b> <b><u>Ongoing</u></b>

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<b>17. Finance - Corporate Fraud</b> Failure or inability to effectively detect, prevent, investigate and deal with corporate fraud.	<ul style="list-style-type: none"> <li>- Reputational damage</li> <li>- Potential for losses in £millions</li> <li>- Investigations not effectively carried out</li> <li>- Fraud difficult to quantify so cannot always evidence effective outcomes</li> </ul>	<ul style="list-style-type: none"> <li>- Corporate Fraud Team has accredited financial investigator</li> <li>- Good engagement with Police Financial Crime Unit</li> <li>- Recruitment to posts</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>- Aiming to implement seconded Police officer</li> </ul>	5	4	20		Alison Greenhill	<a href="#">31.03.2019</a>
<b>18. Finance - Information and Customer Access - Cyber Security</b> Increasing profile and expertise to circumvent established defences increase vulnerability of LCC data.	<ul style="list-style-type: none"> <li>- Data hacked and released into public domain;</li> <li>- Reputational damage - seek alternative more expensive solutions;</li> <li>- Fines from ICO;</li> <li>- Staff stress increases;</li> <li>- Damage to identified individuals;</li> <li>- Denial of service</li> </ul>	<ul style="list-style-type: none"> <li>- Technology defences;</li> <li>- Awareness campaign;</li> <li>- Targeted follow up's;</li> <li>- Built into new system standards from 3rd party applications (secure passwords, TLS);</li> <li>- Daily back-up of systems</li> </ul>	4	5	20	<ul style="list-style-type: none"> <li>- Technology solutions, requires cost effective considerations;</li> <li>- Continued awareness training etc..</li> </ul>	4	5	20		Alison Greenhill	<a href="#">31.03.2019</a> <a href="#">Ongoing</a>
<b>19. Finance - Financial Challenges</b> 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"> <li>- Council is placed in severe financial crisis.</li> <li>- 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'</li> </ul>	<ul style="list-style-type: none"> <li>- <a href="#">Budget balanced in 18/19 and 19/20. Spending review 4 programme underway and previous spending reviews largely complete.</a></li> <li>- <a href="#">Further work required to balance the medium term, particularly driving the spending review programme</a></li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>- Heavy involvement of City Mayor and COO in ensuring spending review programme delivers.</li> <li>- Appropriate change management/ project management arrangements to be put in place for major review areas</li> <li>- Delivery of spending review 4</li> </ul>	5	2	10		Alison Greenhill	31/03/2019/2020 and On-going
<b>20. Finance - Tactical Decision Making</b> Business solutions considered by services, which impact upon Information Services service delivery, are taken without consultation or considering the impact	<ul style="list-style-type: none"> <li>- Increased budget pressure to implement / maintain expensive systems;</li> <li>- Increased pressure achieve service budget / targets;</li> <li>- Staff morale decreases;</li> <li>- Reduction in service capacity;</li> <li>- Breach of licences leading to fines;</li> <li>- Security risks of data / service;</li> <li>- Service support to other parts of council affected;</li> <li>- Internal reputational damage;</li> </ul>	<ul style="list-style-type: none"> <li>- Consultation with HoS to increase knowledge and understanding of IT requirements at early stages of projects;</li> <li>- Create Target Operating Model (TOM);</li> <li>- Enforcing Digital Transformation (DT) gateway process;</li> <li>- Provide clear criteria for commissioning new IT solutions;</li> <li>- Business Continuity (BC) process includes costs to service;</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- Monitor effectiveness of identified mitigations to determine future actions / plan</li> </ul>	4	4	16		Alison Greenhill	<a href="#">31.03.2019</a> <a href="#">Ongoing</a>

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<p><b>21. Finance - Introduction of Universal Credit (UC) Full Service LEGISLATION</b> - 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"> <li>- Rent policy and collection arrangements will be challenging ( different impact to rent arrears)</li> <li>- Housing policies and procedures will require review</li> <li>- Potential need to increase allocated staff resources</li> <li>- Rental payments are delayed thus arrears build up leading to financial consequences for the Authority, Housing Associations&amp; Private landlords</li> <li>- Financial consequences in £m</li> <li>- Increase to bad debt provision (Rent £2m arrears &amp; CT £3.5m in year collection loss)</li> <li>- Reputational damage</li> <li>- Demand for Crisis Support will increase (est 200%)</li> <li>- Demand for Social Welfare Advice will increase (12.5%)</li> <li>- Demand upon Discretionary funding may exceed Government budget Allowance.</li> <li>- Demand for Council Tax Discretionary Relief (CTDR) support may exceed budget</li> <li>- Waiting and assessment periods, sanctions and compliance requirements will lead to delays in first payments and monthly reassessments of entitlement will be carried out</li> <li>- Monthly payments of a combined standard award and housing element paid directly to the claimant, unless alternative arrangements applied for and eligibility criteria met.</li> </ul>	<ul style="list-style-type: none"> <li>- LCC have a UC support strategy, risk log, Equality Impact Assessments with associated comms and action plans</li> <li>- Housing Service are developing a UC Full Service impact strategy, reviewing and developing a Homelessness prevention policy</li> <li>- Housing Options are monitoring the occurrences of this phenomenon</li> <li>- Detailed comms and action plans have been created by both Revenues &amp; Customer Support &amp; Housing</li> <li>- Comprehensive engagement programme is in place with commissioned providers to alert them to the increase in demand.</li> <li>- Every commissioned service has a business continuity plan which can be deployed should demand outstrip provision.</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- Effective and repetitive communication campaign</li> <li>- 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.</li> <li>- Social Welfare advice -discussions ongoing at the Strategic SWAP (Social Welfare Advice Partnership) group re the identification and management of demand</li> <li>- Recognition of increased demand for crisis support- Engagement with provider, Action Homeless, actions within their Business continuity planning.</li> <li>- DHP (Discretionary Housing Payments)/CTDR potential to request consideration of additional resources from Exec.</li> <li>- 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.</li> </ul>	3	4	12	<p>£2m Rent arrears</p> <p>£0.5m Grant loss</p> <p>£3.6m CT loss</p>	Alison Greenhill	<a href="#">31.03.2019</a> <a href="#">Ongoing</a>



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problem – what could go wrong												
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<b>22. Finance- BSC - Payroll Service</b> 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.	- 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	- 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	3	5	15	- 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	3	4	12	20% of monthly net pay at £18m	Alison Greenhill	<b>31.03.19 &amp; ongoing</b>
<b>STRATEGIC AREA - Education and Children's Services</b>												
<b>24. Children's Social Care and Early Help - Budget</b> 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	<b>31.03.2019</b>
<b>25. Children's Social Care and Early Help - GDPR</b> 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	<b>31.03.2019</b>

## Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/01/19

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:												
what is the root cause/												
problem – what could go wrong												
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<b>28. Strategic Commissioning and Business Development -</b> 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	<u>31.03.2019</u>
<b>STRATEGIC AREA - Public Health</b>												
<b>29. Budget - External Influences</b> External national imperatives without associated budget introduced which will impact on local delivery	- Call on finances <u>from</u> NHS pay award; - Changes in financial call due to changes in clinical requirements/ <u>fluctuations in drug/treatment market prices;</u> - 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 - <u>Utilise partnership approach</u> - <u>Explore alternative treatment/therapy options</u>	4	4	16		Ivan Browne	31.03.2019
<b>30. Budget Restrictions - Commissioning</b> Reduced budget for services impacts on financial viability to potential 3rd party contractors who may deem may package to be unsustainable.	- Loss of existing contractors unable to fulfil contracts within reducing financial envelope; - <u>May not be attractive to new providers during tenders; risk of failed procurement</u> - 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; - <u>Briefing</u> of lead members to <u>highlight potential risks and consequences;</u> - 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; - <u>Explore joint commissioning (internal with LCC, and external with county and regionally)</u> - <u>Implement management of change processes</u> - <u>Accept new and novel approaches to commissioning including encouraging consortium applications</u>	4	<u>3</u>	<u>12</u>		Ivan Browne	<u>31.03.2019</u>

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p><b>32. Budget Restrictions - Funding</b> 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</p>	<ul style="list-style-type: none"> <li>- Change in service provision;</li> <li>- Decreased / ceased service /user contact;</li> <li>- Decreased / ceased service effectiveness;</li> <li>- Reputational damage;</li> <li>- Increased demand on other public services (primary / secondary health care / Social Care / Leisure Centres);</li> <li>- Risk of missing safeguarding issues;</li> <li>- Impact on council statutory duties;</li> <li>- Judicial review;</li> <li>- Central government intervention</li> </ul>	<ul style="list-style-type: none"> <li>- PH Return to Central Government (Return On Investment (ROI));</li> <li>- Staffing restructure;</li> <li>- Invest to save opportunities explored;</li> <li>- Internal briefings / decision making process;</li> <li>- Political support;</li> <li>- Articulating associated risks;</li> <li>- Scrutiny;</li> <li>- Clinical Governance Process in place;</li> <li>- Monitoring to identify adverse effects</li> </ul>	3	5	15	<ul style="list-style-type: none"> <li>- <u>Continue with existing controls;</u></li> <li>- <u>Secure additional revenue e.g. income generation through commercial opportunities</u></li> <li>- <u>Continue to explore a variety of potential local and national funding opportunities including commercial, government, academic, grant funding.</u></li> <li>- <u>Utilise in kind support/asset sharing where possible</u></li> </ul>	3	4	12		Ivan Browne	<u>31.03.2019</u>
<b>NEW</b>												
<b>STRATEGIC AREA - Corporate Resources and Support</b>												
<p><b>23. Legal - Workloads &amp; Pressure Client Care</b> Services within the Council are stretched with increased demands and pressures. Unrealistic deadlines at times can be set for major projects, procurement and contracts. There is a concern that whilst corporate policy is correct and general awareness of correct procedures/rules exists, it may not be implemented effectively within services.</p>	<ul style="list-style-type: none"> <li>- Timely legal advice from clients not sought.</li> <li>- Failure to comply with laid down guidelines.</li> <li>- Breach of regulations or law e.g. data protection.</li> <li>- Council found to act unlawfully.</li> <li>- Challenges to procurement processes.</li> <li>- Cost implications from requirements not being followed/deadlines being missed/ not delivering value for money for Council.</li> <li>- Award made against council etc.</li> <li>- Staff demotivated</li> <li>- Negative Press/Reputation of Council</li> </ul>	<ul style="list-style-type: none"> <li>- Reviewing practices to be improve flexibility of approach.</li> <li>- Channel Shift.</li> <li>- Raising awareness - corporate messages.</li> <li>- Early engagement - feeding into deadlines.</li> <li>- Attending project boards.</li> <li>- Projects to look at new ways of working.</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>- Completion of review of practices by September 2019.</li> <li>- Improved use of technology e.g. Electronic Signatures/Virtual Hearings/Channel Shifts (Corporate Channel shift program - March 2019).</li> <li>- Need to increase comms program/training and awareness of current practices (deadlines with project plan).</li> </ul>	4	3	12		Kamal Adatia	31/03/19

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What is the issue:												
what is the root cause/												
problem – what could go wrong												
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<b>STRATEGIC AREA - Education and Children's Services</b>												
<b>26. Learning Services - Technology</b> A rising number of LA maintained schools are reporting financial deficits.	- Schools carrying significant financial deficits present a financial risk to the Council unless they are quickly supported to bring deficits back to a balanced budget position. The LA has limited capacity to intervene in schools in deficit.	- A School Finance Group meets monthly to receive reports on the current position in relation to school budgets. - Schools receive letters requesting reassurances once deficits are notified and are required to apply for a licenced deficit in certain circumstances. - An independent business manager is also appointed in some instances, to help the schools concerned address their budget deficits	4	4	16	- Investigate further options such as additional capacity to support schools via more hours allocated for school business manager support.	4	3	12		Paul Tinsley	31.03.2019
<b>27. Learning Services - Contract Management</b> External competition continues to threaten the future viability of the City Catering Service	- If the current rate of decline continues then the service will soon begin to make a loss. - City Catering Service losing business. - Impact on other services due to the difference being picked up by the General Fund affecting delivery of those other services	- Discussions with school business managers and report commissioned from APSE consultant	4	4	16	- Prepare options paper to take to Executive	3	4	12		Paul Tinsley	31.03.2019
<b>STRATEGIC AREA - Public Health</b>												
<b>31. Public Health - Technology</b> Systems / technology not fit for purpose to support services and commercial objectives ; lack of IT knowledge,	- Inability to achieve savings targets; - Service delivery remains static or not effective - Reduced morale of staff seeking organisational development and progress - Reputational damage - Lack of system integration - Customer dissatisfaction - Loss of income - Legal challenges	- Realistic business plans and objectives set based on current technology capabilities - Project team involvement in new system deployment which impacts on service delivery - Communications with service users to manage expectations - Discussions with IT to understand potential development opportunities for systems in future - Working with IT to ensure sufficient testing of new system takes place; - Scrutiny of current systems to review concerns	4	4	16	- Project group with IT to establish problems / limitations of current systems and review options on market as solutions - Ensure adequate engagement of CCG/ HIS to ensure systems run as effectively as possible	3	4	12		Ivan Browne	31/03/19



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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<b>33. Public Health - Contract Management</b> Dilution of resources within Contract Management Service appear to impact on Public Health specific support for all elements of contract management	<ul style="list-style-type: none"> <li>- Delay in process leads to delay delivering identified actions;</li> <li>- Current assurance practices are not sufficiently robust;</li> <li>- Service delivery impact;</li> <li>- Negative impact on service user;</li> <li>- Reputational damage;</li> <li>- Impact on PH team capacity</li> </ul>	<ul style="list-style-type: none"> <li>- Management through performance review group;</li> <li>- Concern escalations;</li> <li>- Service ownership / involvement in contract meetings;</li> </ul>	3	5	15	<ul style="list-style-type: none"> <li>- Development of SLA;</li> <li>- Ongoing provider/client satisfaction feedback</li> <li>- Liaising with new contract managers to fully understand PH services</li> <li>- Awaiting DMT decision on actions</li> </ul>	1	1	1		Ivan Browne	31/03/19
<b>DELETED</b>												
<b>10. Neighbourhood and Environmental Services- RESOURCE &amp; CAPACITY- INCREASED WORKFORCE AGE PROFILE</b> 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.	<ul style="list-style-type: none"> <li>- Teams already at a minimum number and extra workloads may be unsustainable.</li> <li>- Likelihood of key person dependency as teams reduce further (fewer people in key roles).</li> <li>- Potential non-compliance with legislation/regulation.</li> <li>- Potential stress-related absence/claims.</li> <li>- Quality of service delivery may be affected.</li> </ul>	<ul style="list-style-type: none"> <li>- "Step-up" – work experience utilise</li> <li>- Graduate project officers</li> <li>- Training &amp; Mentoring</li> <li>- Knowledge sharing</li> <li>- Apprenticeship Levy</li> <li>- Leicester Environmental Volunteer scheme</li> <li>- PDR's, identify training and skills gaps and needs</li> </ul>	3	5	15	<ul style="list-style-type: none"> <li>- Succession planning review is required.</li> <li>- Continue to enhance and develop the apprenticeship scheme.</li> <li>- Commence positive promotion of the work/career in this area.</li> <li>- Seek funding for apprenticeship.</li> <li>- Ensure knowledge sharing takes place.</li> <li>- Training/ Mentoring/ Structuring.</li> </ul>	3	4	12	N/A	John Leach	31-01-2019 Ongoing
<b>11. Neighbourhood and Environmental Services – ASSET CONDITION</b> Condition of buildings creating risks to service delivery and individuals (in certain circumstances)	<ul style="list-style-type: none"> <li>- Building/service closures</li> <li>- Insurance claims against the council</li> <li>- Reputational damage to LCC</li> </ul>	<ul style="list-style-type: none"> <li>- On-going review and inspection of building in-house and liaison with Property services</li> <li>- Building conditional surveys reviewed under the Transforming Neighbourhood Services Programme (TNS)</li> </ul>	5	3	15	<ul style="list-style-type: none"> <li>- Building reviewed under TNS</li> <li>- Condition surveys commissioned and review to address key issues</li> </ul>	3	3	9		John Leach	31-01-2019 Ongoing
<b>13. Planning and Transportation – Transport Strategy</b> Tackling Nitrogen Dioxide and other air pollutants	<ul style="list-style-type: none"> <li>- Ongoing poor air quality contributing to ill health and death of Leicester population.</li> <li>- Possibility of fines if remain in the EU or from government if not.</li> <li>- Poor reputation of Leicester as a city to work, live or visit.</li> <li>- Failure to meet government air quality mandating requirements.</li> </ul>	<ul style="list-style-type: none"> <li>- Air Quality Action Plan</li> </ul>	5	3	15	<ul style="list-style-type: none"> <li>- 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.</li> <li>- Successful Transforming Cities bid likely to exceed ERDF delivery. DfT inception meeting 9/11/18.</li> </ul>	4	3	12		Andrew L Smith	31-01-2019 Ongoing

## Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/01/19

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			
<p><b>27. Legal</b> – 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 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.</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 Health check 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