Risk Register Owner: Andy Keeling, COO   **Date completed: 27/08/20**

RISK *What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?*	CONSEQUENCE/EFFECT: *What would occur as a result, how much of a problem would it be, to whom and why?*	EXISTING ACTIONS/CONTROLS What are you doing to manage this risk now?	RISK SCORE WITH EXIS			RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for...*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE WITH FUR			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk			Impact	Probability	Risk			
1. FINANCIAL CHALLENGES The Council fails to respond adequately to the future funding outlook or additional cost pressures arising from the Covid pandemic. cuts in public sector funding over the coming year or years.	- 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 - Budget balanced in 20/21 - Further work required to balance the medium term - Additional risk due to pandemic, and uncertainty over Government funding either in respect of the pandemic or beyond 20/21	- Close management of additional Covid spend - Service transformation fund - Managed reserve balance available to smooth 20/21	5	4	20	Treat	Review of whole approach during spring of 2020.	5	3	15		**Andy Keeling / Alison Greenhill**	31/07/20 and On-going
2. STAKEHOLDER ENGAGEMENT The Council fails to maintain effective relationships with stakeholders (partners, neighbouring Councils, NHS etc.). Key partners and stakeholders fail to support the council in delivery of its strategy as a result of tensions and strained relationships due to financial and other pressures. Covid-19 response and implications stretch resources and impact on existing partnership working Council fails to identify tensions arising in the city (particularly as the financial challenges impact on communities) leading to unrest in specific communities/areas of the city.	- Failure of local agreements and stakeholder arrangements to deliver agreed levels of performance, the impacts of which may reflect negatively on the Council adversely affecting its reputation. - Potential litigation where it impacts on formal contractual relationships. - Financial risk if funding arrangements involving partners are inadequate or not agreed. - Partnership working will be an expensive bureaucracy and fail to add value to improving outcomes for the citizens of Leicester. - Reputational damage to the Council/City from the perspective of stakeholders. - Partnership working fails to take into account the needs of all communities.	- Mechanisms in place for regular dialogue including formal partnerships e.g. Health and Wellbeing Board. - City Mayor Faith and Community Forum in place to engage specifically with faith and non-faith communities and currently some work to review and evaluate the Forum now it has been in place for a number of years - Arrangements for engagement of, and support to, the Voluntary Community Sector (VCS) have been commissioned and contracts are in place. - Specific Executive Members have clear objectives around partnership working in their portfolios, for example working with the voluntary and community sector is reflected in the portfolios for the Assistant City Mayors for Close involvement of City Mayor and Members in key partnerships. - Close partnership working has been a feature of the Covid-19 response across LLR and there has been good local engagement co-ordinated via the LRF	3	3	9	Treat	- Regular review and evaluation of the current position by Strategic Management Board. - Review of existing arrangements and contract for VCS engagement and support is underway but further work to reflect on the impacts and implications of Covid-19 on the VCS and also how to harness the community and volunteering response that has been seen during the crisis - Key aspects of partnership working being reviewed and updated in the light of Ofsted findings e.g. LSCB	3	2	6		**Miranda Cannon / All Strategic Directors**	30/09/20 and ongoing

Risk Register Owner: Andy Keeling, COO **Date completed: 27/08/20**

RISK *What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?*	CONSEQUENCE/EFFECT: *What would occur as a result, how much of a problem would it be, to whom and why?*	EXISTING ACTIONS/CONTROLS What are you doing to manage this risk now?	RISK SCORE WITH EXIS			RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TAR GET SCO RE WIT H FUR			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk			Impact	Probability	Risk			
2. STAKEHOLDER ENGAGEMENT (Continued) If stakeholder engagement is not robust and effective but is critical to the delivery of the Council's priorities, statutory duties etc., these may not be delivered. An example of such is the need to have a continuing, productive partnership relationship with Clinical Commissioning Group which is particularly important in light of the importance for Adult Social Care of the Better Care Together Fund.	- There is no common vision or consensus across key partners in the City and therefore the work of individual organisations pulls in different and potentially conflicting directions. - Places a strain on resources and services to manage. - Partners are present round the table but are not collectively owning the agenda or taking on board the responsibilities and actions that arise therefore undermining the approach - Public health and wellbeing may be impacted or the quality of the service delivered to the Public is insufficient, which could cause harm.	- The Council/ Police have a Community Gold meeting which meets approx. once a month and includes Local Policing Unit commanders, the Basic Command Unit commander and council officers from Leicester Anti-Social Behaviour Unit, youth services, community services. This tracks and agrees joint actions to address any known tensions in communities. This is supported by a shared system between front line officers from the police and the council to track community tension. Community joint management group now in place which creates a regular conduit for engagement with community leaders.											
3. CYBER RISK - Loss or compromise of IT systems and/or associated data through cyber security attacks	- Potential financial or reputational damage to Council. - Potential Data Protection breaches. - Fines - Service delivery affected	- Ensure close monitoring of existing perimeter and internal security protection. - Continue working on staff awareness and training - Services have BCPs which cover loss of systems and ICT have a disaster recovery plan in place - An audit was commissioned in April 2019 to provide assurance that the ICT infrastructure is robust and that the range of IT controls are well designed and consistently applied. The auditors reported "Substantial Assurance" with some minor improvements required with medium risk issues to be addressed and an action plan has been created to resolve these issues	4	5	20	Treat	- Delivery of action plan arising from the audit	4	3	12		**Andy Keeling / Alison Greenhill**	30/09/20 and ongoing

Risk Register Owner: Andy Keeling, COO — **Date completed: 27/08/20**

RISK *What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?*	CONSEQUENCE/EFFECT: *What would occur as a result, how much of a problem would it be, to whom and why?*	EXISTING ACTIONS/CONTROLS What are you doing to manage this risk now?	Impact	Probability	Risk	RESPONSE STRATEGY / ACTION *Select from the 4T's* *(see Process worksheet for...)*	FURTHER MANAGEMENT ACTIONS/CONTROLS	Impact	Probability	Risk	COST	RISK OWNER	TARGET DATE
4. BUSINESS/SERVICE CONTINUITY MANAGEMENT Unforeseen unpredictable events such as flood, power/utility failure etc. could impact on the council's assets, communication channels or resources etc.	- Insufficiently prepared management leads to disorder in the rapid restoration of business critical activities and the control of the emergency plan. - The wider risk environment increasingly makes 'resilience' a significant focus for all organisations. - Budget cuts and rationalisation may also challenge the ability of Category 1 responders (which LCC are) to fulfil their statutory duty. - Resource restraints means that there is limited staff to perform manual operations at the volume required in an event/incident. - Council is unable to communicate to stakeholders/deliver its services. - Reputational Damage - Vulnerable service users in danger as such users face loss of service. - Financial Impact - Impact on resources	- All the Senior Management Team have roles in either the Corporate Business Continuity Management Team (CBCT) or are Emergency Controllers. Significant number of senior managers are on the on-call rota and have either had training and in some cases practical experience from actual incidents. The Manager, Risk Management chairs the Multi-Agency Business Continuity Group. - All Business Critical Activities for the council are identified and named in the Corporate Business Continuity Plan (CBCP). Critical Services BCPs are reviewed thoroughly and updated annually or as and when changes occur in service areas. These are then submitted to REBR who cast a critical eye on all these plans. A process for undertaking a more detailed review of what are business critical services has been piloted with the DCPG division and is due to be rolled out. Some comparisons done with business critical activities identified by other authorities. Business Impact Analysis is being carried out to determine the really critical services. - BCP Strategy and Policy tailored for the council in place to meet organisational needs and this is being presented to Audit and Risk Committee on 17th June 2020 for Committee to note. - Training offered corporately and a number of table-top exercises recently done for specific services. - Risk Management/Insurance Services/REBR Team provide updates and lessons learnt on incidents to CBCT/Audit & Risk Committee as appropriate - Self cert annually by Directors to confirm BCPs in place for all service areas - CBCP which is reviewed annually but also updated as and when changes occur - Desktop review of the Corporate Plan by insurers confirmed it is a well written plan. Internal Audit have completed an assurance review of risk management and given arrangements a high level of assurance - Resilience Direct Secure Site (web based) holds CBCP and all Business Critical Activities BCPs (alongside emergency planning documentation) and is securely accessed by the CBCT and electronic logging system in place to support incident management - Communications on-call arrangements working more effectively and training run for all staff involved including LRF training/meet each on call officer individually for an annual half hour briefing - Assisting maintained schools on BC planning - Covid-19 has put the corporate and all service business continuity plans into practice. The organisational response included a major shift to home-working for a significant proportion of staff and services, as well as certain critical services having to adapt to continue working whilst maintaining safe working practices. This has been a major challenge but the organisational response has been robust and has truly tested our plans and arrangements as well as core infrastructure, particularly ICT. In due course there will need to be a formal debrief identifying the strengths and lessons learnt and reflecting these in our future BC plans and arrangements	4	2	8	Treat	- Further embedding of business continuity management approach through continued training and awareness raising. - Further completion of Business Continuity tests. - Further communication/training and awareness for staff on continuity arrangements. Contingency planning training continues to be delivered to levels of management below the Corporate BCP and all staff. - Roll out the framework to review the number of Business Critical Activities and to reduce them to ensure recovery from an incident is more efficient and effective - Conduct a formal debrief of the Business Continuity response to Covid-19, report this formally to CMT and Audit and Risk Committee and amend as appropriate organisational plans and arrangements to take account of key lessons learnt	3	2	6		**Miranda Cannon**	30/09/20 and ongoing
5. INFORMATION GOVERNANCE Information Governance/Security/ Data Protection policies/procedures/ protocols are not followed by staff and members.	- Major loss of public confidence in the organisation. - Potential litigation and financial loss to the Council. - Reputational damage to the Council. - With data held in a vast array of places and being transferred between supply chain partners, data becomes susceptible to loss; protection and privacy risks. - Reduction in the capacity/capability to retain such data. This could also be costly. - Excessive retention of data can still be requested through a Freedom of Information Act if retained. - Council may not share data with the appropriate individuals/bodies accurately, securely and in a timely manner. - Council fails to adequately secure/protect confidential and sensitive data held. - Possibility of not being compliant with data protection legislation (GDPR, Data Protection Act 2018, PECR, HRA)	- Clear policies and protocols in place. - Staff have been trained and made aware of the Council's policies and procedures. - Secure storage solutions are now in place. - Paper retention has been reduced through the introduction of scanning etc. - Mandatory e-learning module for staff - Monthly reporting of information security incidents and weekly reporting of FOI performance to Directors in place - GDPR action plan implemented and regularly reviewed	3	4	12	Treat	- Clear and on-going communications to staff to reinforce policies and protocols. - Regular review and monitoring of arrangements across services by Service Managers supported by Information Security/Governance Teams. - Ensure that the policy in place around the management of electronic data and disposal of data is in the awareness of staff - Ongoing review and updating of appropriate information sharing agreements. - Information asset registers, Privacy Notices, policies & procedures and contract clauses regularly reviewed - Data Protection and Freedom of Information training available across the Council - Regular external audit of GDPR compliance in place	3	3	9		**Andy Keeling**	30/09/20 and ongoing

Risk Register Owner: Andy Keeling, COO | **Date completed: 27/08/20**

RISK *What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?*	CONSEQUENCE/EFFECT: *What would occur as a result, how much of a problem would it be, to whom and why?*	EXISTING ACTIONS/CONTROLS What are you doing to manage this risk now?	RISK SCORE WITH EXIS Impact	Probability	Risk	RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for...)*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE WITH FUR Impact	Probability	Risk	COST	RISK OWNER	TARGET DATE
6. COMPLIANCE WITH REGULATION, POLICIES, PROCEDURES HEALTH AND SAFETY ETC Local management use discretion to apply inconsistent processes and misinterpret Corporate policies & procedures, perpetuating varying standards across business units. The Council fails to respond effectively to the requirements of Health and Safety Executive/Government proposals and/or legislation which places health and safety responsibilities on local authorities. Response to Covid-19 does not follow relevant guidance and procedures / ongoing changes to Government position and PHE guidance are challenging to respond to	- Places the organisation at risk e.g. fraud, data loss etc. Potential financial losses / inefficient use of resources. - Possibility of serious injury or death of member of staff or service user/members of the public. - Failure to meet statutory responsibilities. - Reputational damage to the Council. - Negative stakeholder relationships - Potential for increase in the number of insurance claims	- Day to day management of Health and Safety responsibility rests with the Operational Directors and their Heads of Service. Corporate Health and Safety team available to assist. - Risk is reported and controlled through Divisional Directors Operational Risk Registers (presented to the CMT and the Executive each quarter and reported twice yearly to Audit and Risk Committee) and these are underpinned by registers at Heads of Service level reviewed and discussed at Divisional Management Teams quarterly. Internal Audit have undertaken an assurance review of risk management arrangements and given a high level of assurance. - Regular inspections and reports by the Health and Safety team with all actions being followed up within a reasonable time. Close involvement of Trade Unions in monitoring and reviewing Health and Safety. CMT receive monthly data on the completion of SO2 incident investigations. Quarterly meeting between H&S, Risk and Insurance services to review any recent claims and incidents. - Corporate Management Team receive a quarterly report on health and safety matters via the quarterly risk management reports. Directors/HofS received corporate manslaughter training in December 2019 as part of our insurance offer - Work is well advanced on reviewing absence management with agreed actions being focused on to seek to address this particularly in terms of stress and musculo-skeletal absence which are the top causes. In addition ongoing work to support employee Health and Wellbeing which supports the work to reduce absence and deal with key issues such as work-related stress. Mental Health training for Managers available. - Current corporate equality strategy and action plan approved by Council in June 2018 which supports the Council in ensuring it meets the requirements of the Equalities Act 2010 and the Public Sector Equality Duty. Action plan is monitored quarterly . New action plan for 19/20 taken to Executive and Scrutiny and approved and underpins continued work to deliver against the strategy. EIA training successfully being delivered with 80+ attendees so far undertaken the training. - Officer decisions process now finalised and agreed and is being rolled out to ensure compliance with the relevant legislation. - Guidance in place locally linked to PHE guidance on PPE in relation to Covid-19. Risk assessments of workplace, work activity and where appropriate for individual staff members, mandated as key to ongoing management of risks relating to Covid-19. Core strategic group overseeing safe working practices in relation to Covid-19 which includes changes needed to Council buildings. Robust system and processes in place for the management and provision of PPE. Close working with schools to provide support and guidance around safe working, risks assessments etc.	4	4	16	Treat	- Continue to review and reinforce key standards and policies via regular communication. - Ensure Managers are appropriately trained and requirements are clearly set out in Job Descriptions and reinforced via appraisals. - Ensure Internal Audit findings are acted on in a timely manner. - Continue to refine and improve strategic monitoring and reporting in relation to Health & Safety to ensure responsibilities are reinforced from the top. - Continue delivery against the 19/20 equalities strategy action plan including EIA training and targeted work in key areas - Quality assure risk assessments relating to Covid-19 and continue to review and update corporate guidance as necessary. Maintain robust systems and processes relating to PPE supply and management. Keep under review safe working practices relating to buildings including in light of wider guidance/government position	4	3	12		**Kamal Adatia / Miranda Cannon**	30/09/20 and ongoing
7. SAFEGUARDING Weak Management oversight of safeguarding processes in place leads to the Council failing to adequately safeguard vulnerable groups e.g. children and young people, elderly, those with physical and learning disabilities.	- Death or serious injury. - Serious case reviews initiated. - Reputational damage to the Council. - Citizens lose confidence in the Council. - Negatively impacts on relationships with stakeholders. - Impacts severely on staff morale - Leads to high turnover of social workers and managers.	- Safeguarding Adults–Board and Safeguarding Children Partnership in place. - Regular reviews of policies/procedures and close supervision of staff. - Range of quality assurance processes exist within the Divisions. - Range of developments, including corporate training, exist within the Divisions to manage, support recruit and retain staff. - Improvement Board established following the Ofsted inspection and other arrangements e.g. Performance Board set up - 24/7 Duty and Advice Service in place - Single assessment team in place which has resulted in a reduced caseload and more timely intervention	5	3	15	Treat	- Board performance and framework development. - Chair of Board has direct accountability through Chief Operating Officer. Professional Adviser to Safeguarding Children Partnership being recruited, with Chair of Improvement Board covering role in interim - Regular bi-annual meetings with Mayor and Adults and Children's Lead Members. - Full implementation of all necessary improvements identified via the Ofsted inspection of Children's Services - overseen by Improvement Board and Independency Chair - Performance framework in place across Children's - positive progress highlighted in recent Ofsted reports - Version 11 of Liquid Logic implemented successfully	5	2	10		**Martin Samuels**	31/09/20 and ongoing

Risk Register Owner: Andy Keeling, COO   **Date completed: 27/08/20**

| RISK
What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives? | CONSEQUENCE/EFFECT:
What would occur as a result, how much of a problem would it be, to whom and why? | EXISTING ACTIONS/CONTROLS
What are you doing to manage this risk now? | RISK SCORE WITH EXIS | | | RESPONSE STRATEGY / ACTION
Select from the 4T's (see Process worksheet for | FURTHER MANAGEMENT ACTIONS/CONTROLS | TAR GET SCO RE WIT H FUR | | | COST | RISK OWNER | TARGET DATE |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Impact | Probability | Risk | | | Impact | Probability | Risk | | | |
| **8. SCHOOL IMPROVEMENT**
- The Council receives a school improvement grant for its retained statutory functions but this has been reduced year on year and will only amount to circa £200k for 2019/20. Additionally de-delegated funding from School Forum, previously allocated to support this work, will no longer be available in 2019/20. This means that the Council's capacity to both support and hold schools to account will be significantly reduced. | - Poor OFSTED outcome for schools which affects morale and reputation and leads to poorer outcomes for children and young people
- Increased risk of schools going into category of special measures, which for LA maintained schools requires the school to become a sponsored academy
Increased risk of safeguarding concerns leading to poor OFSTED outcomes | - Revised desk top analysis to identify potential underperformance in individual schools and settings
- Revised School Improvement Framework
- Regular reporting to DMT and LMB on schools causing concern and targeted work
- Self evaluation against OFSTED framework for inspection completed
- At risk schools discussed and warning notices considered
- Inspection file being collated to evidence effective and good practice in targeted work with schools.
- Working with most schools in the Primary sector to establish a school improvement strategy based on a school-led system and a collaborative approach to school improvement.
- All schools are expected to carry out an annual safeguarding audit
- Some schools , considered "at risk" and/or near inspection are offered an audit
- Continue to explore traded services with schools where service budgets do not allow for the same levels of support as previously.
- Develop a strong relationship with the newly established School Improvement Leicester partnership and ensuring a strong offer of school to school support across the City.
Current COVID19 epidemic has led to more desktop activity including specific vulnerable children data returns to support understanding of safeguarding risks
Examples of School risk assessments provided to Headteachers and Governors to adapt to the schools needs and are informed to keep under review. | 4 | 3 | 12 | Treat | - Single plan implementation for RI schools
- Local Authority Reviews of individual schools to be negotiated
- Preparation for inspection to include briefing to all schools.
- Review induction process for new heads.
- Review financial controls on maintained schools (internal audit and paper to Education Board) | 4 | 2 | 8 | | **Sue Welford** | 30/09/20 and ongoing |
| **9. CIVIL CONTINGENCY RESPONSE/INCIDENT RESPONSE**
Council resources may not be adequate or sufficient to respond should an external incident/disaster occur, for example, flooding, pandemic, explosion, major fire or disruption such as fuel shortage, major power outage etc | - Having sufficient financial resources and flexibility to address these challenges becomes increasingly difficult.
- Having sufficient assets/contingency arrangements.
- Lack of resources could lead to inadequate response
- Impact on the public's health and wellbeing, safety/housing needs etc.
- Adverse impact on budget
- Reputational impact
- Death/injury
- Potential for increase in the number of insurance claims
- Negative relationships with stakeholders
- Fail to meet statutory requirements
- City Council fails to respond effectively to the requirements of Government proposals and/or legislation | - Risk is reported and controlled through the Divisional Directors Operational Risk Registers (presented to Corporate Management Team and Executive 4 monthly quarter)
- Local Resilience Forum (LRF) county wide partnering arrangement.
- Leicester City Council (LCC) is part of the Resilience Partnership of local authorities in LLR. LLR Health Protection Committee coordinates health protection response across LA/PHE/NHS
-Regular training provided via LRF and Resilience Partnership to relevant staff e.g. recent Operation Incus CT exercise
- City Council major incident plan reviewed and signed off. A significant number of LCC senior managers provide on-call cover and are trained to do so, this is supported by an on-call function for communications and specific service areas also have out of hours emergency cover arrangements.
- Emergency control room fully equipped and operational at City Hall and provides a facility for both local management of emergencies and use by the LRF as a SCG venue. Tested on a number of large scale events e.g. LCFC victory parade and KR3 reinternment and specifically for LRF multi-agency TCG flooding exercise.
- Logging system implemented to support major incident response and event management
- Emergency management arrangements tested a number of times in 2018 as a result of major incidents e.g. Hinckley Road and LCFC helicopter crash and were found to be robust and effective. Debriefs undertaken and lessons learnt being implemented. Current Covid-19 epidemic has required the full LCC and LRF emergency management response arrangements to be enacted and those remain in place. LCC has been able to fully respond and support the LRF structures and activity throughout the ongoing epidemic and this has pulled in all senior officers. In due course a formal debrief will be conducted to identify any lessons learnt for future plans, training etc
- Briefings provided to scrutiny on emergency planning and incident response to increase member understanding and awareness | 4 | 3 | 12 | Treat | '- LRF and Resilience Partnership arrangements continue to be reviewed
- Robust schedule of plan reviews and training in place and agreed via the LRF
- LLR-wide Health Protection Committee arrangements under review to provide assurance around management of health protection risks/ incidents and outbreaks
- Continue to undertake full debriefs from any incidents and ensure lessons learnt and recommendations are acted upon. Conduct a formal debrief relating to the Covid-19 epidemic and LLR incident response and ensure lessons learnt are reflected in future plans and arrangements
-Member development programme includes briefings on emergency planning for Councillors | 4 | 2 | 8 | | **Miranda Cannon / Ivan Brown** | 30/09/20 and ongoing |

Risk Register Owner: Andy Keeling, COO   **Date completed: 27/08/20**

RISK *What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?*	CONSEQUENCE/EFFECT: *What would occur as a result, how much of a problem would it be, to whom and why?*	EXISTING ACTIONS/CONTROLS What are you doing to manage this risk now?	RISK SCORE WITH EXIS			RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for...)*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE WITH FUR			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk			Impact	Probability	Risk			
10. CLIMATE CHANGE An increase in inclement weather events (flood, heat, waves, drought, windstorm, increased snow fall etc.) and the inability to respond to adverse weather conditions in a timely manner	- Impact on the public's health and wellbeing, safety/housing needs etc. - Adverse impact on budget - Reputational impact - Death/injury - Potential for increase in the number of insurance claims - Not meeting carbon footprint reduction target - Fail to meet legal requirements/litigation issues - Impact on tourism/healthcare	- Corporate Management of this is outlined in the Leicester Sustainable Action Plan action plan and emerging Climate Emergency Plan which covers all areas of management activity across the Council and its partners to reduce carbon. A new sustainability action plan is in development. Climate emergency is one of the council's top three priorities to tackle. - Day to day management of climate change responsibility rests with the Operational Directors and their Heads of Service. - Risk is reported and controlled through the Divisional Directors Operational Risk Registers (presented to Corporate Management Team and Executive 4 monthly) - Local Resilience Forum (LRF) county wide partnering arrangement. - Leicester City Council (LCC) is part of the Resilience Partnership of local authorities in LLR. '-Building the right infrastructure and new statutory flood and water risk management duties.	4	3	12	Treat	- Public engagement and city wide flood defence programmes are being developed jointly with the Environment Agency. This provides a two-pronged approach to manage the risk of severe flooding arising from climate change	4	2	8		**Matt Wallace**	30/09/20 and ongoing
11. RESOURCE: CAPACITY, CAPABILITY, RETENTION & DEVELOPMENT Lack of workforce planning and appropriate development of managers and employees leaves the Council exposed to service failure. The Council does not have the capacity/resilience in resources, should an event/incident occur, may significantly increase the demand on front line services. Changing market conditions gives rise to the council not being seen as first choice for employment as private sector may be perceived as offering better reward.	- The Council does not have the right skills, behaviours and competencies in terms of the workforce to deliver the city's vision and priorities - The Council fails to maximise the potential of its key resource - Staff become demotivated/are under pressure which has an impact on productivity and delivery across the Council - Disruption to service delivery - Impacts on continuity of services. Creates risks in delivery because information on processes/procedures etc is lost - Service demands may not be met - Reputational damage - Financial impacts - Drain on resources - Potential reduction in controls being exercised and as a result, the business control environment is reduced - Potential exposure for fraud/irregularity - Impact on the Health and Wellbeing of the City - Council loses knowledge, experience and skills - Posts not filled with the right skills set/qualification/experience - changing market conditions may result in the Council being unable to recruit to specific posts or attract candidates of the right skill mix	- Enabling our best work programme being actively implemented rolling out new leadership qualities and embedding them into the employee lifecycle along with the roll out of the quality conversations framework for employee performance management and supporting tools and guidance around performance management and leadership - Active programme of work to support young people into employment and to utilise graduates, apprenticeships, work placements etc across the Council and to maximise the use of the apprenticeship levy. - Significant numbers of graduates and apprenticeships in place within the Council. CMT started to receive regular reports of utilisation of the apprenticeship levy. - Digital Transformation programme includes a focus on developing the digital skills and competencies within the workforce. - CMT agreed work to be progressed around managing talent and workforce planning following specific pilot work done within Neighbourhood Services which was reported back to CMT - Ongoing work around solutions in relation to hard to recruit roles. - Covid-19 response has demonstrated the ability of the organisation to be agile in both utilising technology as well as managing staffing resource flexibly, including temporary voluntary redeployments of staff from services which were closed to the critical services.	3	3	9	Treat	-Continue work on workforce planning with divisions tailoring as appropriate to the specific needs of the different divisions - Continue to roll out and embed the enabling our best work programme - Continue to identify opportunities to use apprenticeship schemes in targeted areas e.g. apprenticeship scheme in adult social care in partnership with Warwick University	3	2	6		**Miranda Cannon / Craig Picknell**	30/09/20 and ongoing

Risk Register Owner: Andy Keeling, COO   **Date completed: 27/08/20**

RISK *What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?*	CONSEQUENCE/EFFECT: *What would occur as a result, how much of a problem would it be, to whom and why?*	EXISTING ACTIONS/CONTROLS What are you doing to manage this risk now?	Impact	Probability	Risk	RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for...*	FURTHER MANAGEMENT ACTIONS/CONTROLS	Impact	Probability	Risk	COST	RISK OWNER	TARGET DATE
12. COMMISSIONING, CONTRACT MONITORING, MANAGEMENT & PROCUREMENT Lack of robustness in contract management & monitoring protocols/procedures/controls and limited awareness/understanding of contractual risks by staff within the Council, particularly by those procuring for goods/services.	- Reputational damage. - Financial impacts; not secure value for money and/or required service delivery. - Potential for challenge/litigation and fines being incurred with associated cost/resource implications - Contracts may not be adhered to. - Procurement processes may not be efficient	- New revised Contract Procedure Rules in place (March 2020) along with guidance. - Policy that all procurement over a stated threshold should be carried out by one of the specialist procurement teams. - Professional procurement staff recruited and in post - Professional training for procurement staff (MCIPS) - Electronic tendering system in use - Procurement template documentation in use - Service Analysis Team currently undertaking an analysis of commissioning and contract management corporately	3	4	12	Treat	- Further guidance being produced to support new Contract Procedure Rules - Training in procurement and contract management for staff across the Council - Enhanced engagement with local business to widen portfolio of potential suppliers - Response to SAT analysis - Review of electronic tag system and potential contract management system	3	3	9		**Kamal Adatia**	31/12/20 and ongoing
13. ASSET MANAGEMENT That ahead of the adoption of the Council's strategic and corporate asset management plans and associated focus and targeting of funds, that the condition of certain properties will deteriorate.	- The council's assets may fall into disrepair, resulting in increased maintenance costs, interruption to service delivery and potential for reductions in rental, capital and asset values.	- Final Asset Management Plan developed, including lifecycle planning for schools - A single corporate asset management system is now in place - Asset condition survey data held on the Concerto system is used for addressing priority actions. - Compliance data (fire, asbestos, water) is held on a centralised system and used to track risk - Corporate Landlord Fund has provision for emergency reactive repairs - Structural data is used to identify high risk building elements	4	3	12	Treat	- Continued development of effective planned maintenance programme across the estate - performance measurement in place to provide assurance regarding compliance- concerto being established and populated to work as the single corporate asset management system - Development of a comprehensive building maintenance strategy to enable the prioritisation of capital improvement to reduce the backlog maintenance costs and targeted investment into critical Council properties to optimise the Council's Corporate and Operational Estates and associated incomes. EBS to undertake a full asset capture exercise to ensure data is held fully within Concerto. This will enable the Council to plan for critical replacements and therefore further reduce risk. '-Regular asset valuation	3	3	9		**Matt Wallace**	30/09/20 and ongoing

Risk Register Owner: Andy Keeling, COO   **Date completed: 27/08/20**

RISK *What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?*	CONSEQUENCE/EFFECT: *What would occur as a result, how much of a problem would it be, to whom and why?*	EXISTING ACTIONS/CONTROLS What are you doing to manage this risk now?	Impact	Probability	Risk	RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for...)*	FURTHER MANAGEMENT ACTIONS/CONTROLS	Impact	Probability	Risk	COST	RISK OWNER	TARGET DATE
14. DIGITAL TRANSFORMATION The council may not be able to maximise the use of technology and data to work smarter and more efficiently, reduce costs and deliver customer friendly services. Integration of data, workflows and systems may not be delivered as required	- LCC is not able to meet the savings targets - Service delivery may not be met or may be compromised - Demand management may become problematic as increased population and draw on services. - Service costs may increase as more demand is placed on expensive channels - Demand and service costs are increased by if the end to end transformation of both the service area and the IT/data is not delivered as creating a digital presence only increases the process, rather than streamlining - Reputational damage to the council as demand pressures increase - Customer experience is poor, leading to complaints and an increased demand as customers are accessing the services multiple times for the same transaction	- Scope, vision, objectives and design principles for the digital transformation programme have been agreed. - Digital Transformation Programme Manager in post. Lead Member involvement in the programme with regular lead member briefings. - Digital Transformation Board established and a digital transformation gateway process to manage projects is agreed and in place supported by a weekly Digital Transformation conference call led by senior officers. - Resources for the programme have been secured and other relevant areas of the programme are being taken forward using existing core resources in areas such as Organisational Development and Equalities. ICT have aligned appropriate resources outside of operational delivery to specifically support digital transformation - Key transformation projects have been agreed and are being undertaken and includes areas such as ICT rationalisation, data management and service based digital transformation. - Key metrics agreed with the Board and being regularly reported including realisation of savings/efficiencies - Work underway to look at future development of the existing open data platform. - Council has signed up to the DHCLG digital declaration and is engaged with the national Digital Collaboration Unit to support the programme including making good use of their training and events offer. Team is also ensuring good networking through other events and conferences to keep up to speed with latest digital developments -DT Team have been deployed to support digital solutions during the Covid-19 response. The response itself has involved a wholesale shift to 'virtual' working and in many areas required a shift to a digital offer for services eg around 70% of Adult Learning has moved to on-line. This has provided a major opportunity in terms of digital transformation, underpinning technologies and workforce skills, confidence and capability - will be important to build on this further as part of the programme	3	3	9	Treat	- Ensure clear communications relating to the programme - Keep under review the ICT resources and approach needed to ensure the programme is able to deliver at the appropriate pace - Capture positives and challenges around the Covid-19 response in relation to using technologies and transformed ways of working and identify how the programme can build further on this	3	2	6		**Miranda Cannon**	30/09/20 and ongoing
15. BREXIT SCENARIOS There may be significant implications relating to requirements for further public sector cuts, reductions in other funding streams particularly for infrastructure projects, as well as longer-term legislative changes in areas such as procurement. Also creating a level of instability and uncertainty in financial markets and in relation to staffing either directly or indirectly (via supply chains) This could be further compounded by the economic and other impacts of the Covid-19 epidemic	- Further budget reductions. Impacts on major infrastructure schemes and vision around future city development. - Implications in terms of treasury management. - Need in future to revisit key policies and procedures - Community tensions and disorder - Potential for service disruption arising from supply issues, public disorder etc	- Monitor situation closely. COO part of national reporting arrangement through regional Execs. Director DCPG identified as the Brexit Lead Officer and engaged in regular regional and national reporting as required although this has been paused following the agreement of the transition plan in January 2020. - CMT completed and reported a Brexit impact assessment to Executive and Audit and Risk which was further reviewed, updated and reported to CMT and Executive in Sept/Oct 2019 - to be reviewed further in summer/autumn 2020. - LRF has undertaken a detailed risk assessment and has undertaken planning in light of potential risks particularly around public disorder and disruption and other issues such as travel disruption around East Midlands Airport. LCC engaged in recent LRF fuel planning exercise and follow up work underway. Established LRF plans and arrangements in place to manage such risks if they emerge. A reporting regime and structure has been agreed by the LRF and LCC has identified relevant representatives for roles in this and is fully engaged in planning and reporting activity including regular communication cell meetings and planning. LRF undertook a full debrief after the first potential EU exit date passed and this gave positive assurance of the plans and arrangements put in place - Grant funding from Government has been received to support additional workload/burden generated by Brexit - Covid-19 ongoing response and recovery activity has identified Brexit as a potential risk to be further considered in terms of managing the two potential issues concurrently in late 2020	4	3	12	Treat	- Continue to monitor and update LCC impact assessment and take appropriate actions in accordance with this. Continue to work with the LRF in managing risks - Consider implications alongside future budget strategy and in light of Covid-19 ongoing response	3	3	9		**Andy Keeling / Alison Greenhill / Miranda Cannon**	30/09/20 and ongoing

Risk Register Owner: Andy Keeling, COO **Date completed: 27/08/20**

RISK *What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?*	CONSEQUENCE/EFFECT: *What would occur as a result, how much of a problem would it be, to whom and why?*	EXISTING ACTIONS/CONTROLS What are you doing to manage this risk now?	RISK SCORE WITH EXIS			RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE WITH FUR			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk			Impact	Probability	Risk			
16. FIRE RISK IN TALL BUILDINGS As a result of the failure of cladding materials and fire safety measures the fire service issues a prohibition notice leading to the evacuation of a high rise residential building .	- The Council is faced with the potential rehousing of occupiers at short notice and for a potentially indeterminate period of time. - At the moment the risk to the Council would seem to be reduced as no major fire safety issues have been found. MHCLG is currently re-revising Approved Document B (Fire Safety) of the Building Regulations and arranging fire tests on insulation materials etc. Once the results and outcomes are known it is possible that other materials currently installed on other buildings, may also be restricted /banned and the risk profile may need to be raised again.	- The Council is contributing to an ongoing exercise (led by LFRS) whereby high rise buildings are assessed for a) cladding b) whether that cladding is ACM and c) through the fire service, whether the building satisfies fire safety regulations. - All LCC owned tall buildings have been reviewed in conjunction with LFRS and any mitigating actions identified completed - Fire Safety leaflet agreed with LFRS/Internal Comms distributed to all LCC Council tenants including those in Tower blocks in March 2019 - Maxfield Houses planned improvement programme has now competed and reoccupation in now completed All LCC Tower blocks in this programme have now been improved with the main focus on safety and fire safety - Sprinklers have now also been fitted to Maxfield House - Decision taken to demolish LCC owned Goscote House taken, this building is now vacated and empty. Work has taken place to prepare for the demolition phase of the project which is due to start in early 2020 and last for up to 12 months. - Procurement is ongoing for the retro fit of sprinkler to all LCC owned Tower blocks. - All high rise residential buildings in the city have been assessed for ACM cladding. The two privately owned buildings that were found to have ACM on, put in place sufficient additional fire safety measures that the Fire Service allowed continued occupation. One of these buildings has had the ACM cladding replaced and replacement work is now underway on the second. - Currently there is a MHCLG exercise commencing requiring the Council to collate information on the external wall construction of all high rise residential buildings	3	3	9	Treat	- The fire service will provide the Council with an early indication of any buildings where a prohibition notice is likely to be issued in order that options for temporary accommodation can be considered in advance of any potential displacement. - The Council and the Fire Service jointly will continue to review high rise and other buildings in the context of emerging government guidance - Demolition of Goscote House due during 2020 /21 - Decision taken to fit sprinklers to all LCC owned tall buildings. All other LCC owned Tower blocks to have sprinklers retro fitted from 2019 onwards	2	3	6		**Chris Burgin/John Leach**	30/09/20 and ongoing
17. ENSURING STATUTORY RESPONSIBILITY FOR PROVISION OF SECONDARY SCHOOL PLACES Failure to provide secondary schools places in line with statutory responsibilities Uncertainty over the delivery and timing of government free schools, together with risks around the impact of Brexit, results in the city having either insufficient or a surplus of secondary school places.	- Surplus space developed which prejudices particular schools resulting in closures or that of the free school programme stalls and we find a lack of places, with subsequent impact on our legal duty, the education of children and the reputation of the Council. - This would also carry financial impact in terms of emergency mitigation measures required.	- We are reviewing our projections constantly to ensure we maintain a balance of supply and demand. We now have in place clear check points throughout the year such as offer day, October census, on time applications which allow clear touch point and review periods to ensure close monitoring of places We have established governance in relation to the free school programme. We have monthly meetings, clear governance around programme risk and cost so we understand as LA where we are on the free schools programme. We are continuing to have dedicated officers work with the DFE to maintain oversight of the programme. - At the moment we have established a balanced approach to pupil place provision, between temporary places, permanent places and a programme of planned places. This is under constant review, however this approach provides the local authority the opportunity to be very flexible around supply, oversupply and future demand. Future projections and modelling of places is now reviewed by a third party as part of the verification process to ensure any projections and this has helped the LA established historical patterns and a larger sample of housing yield. - National data sets used to triangulate local needs, such as NHS projected birth data and GP registrations. - Regular DFE meetings in place to discuss need across the city and collaborate around future free schools. DFE meetings and outputs in terms of future wave projections are considered within the pupil places allowing a complete picture to be understood. - Officers monitor the approved free school programme applications, to ensure programmes remain on track around place provision delivery and operate any contingency mechanisms should slippage occur - Working with secondary schools around the city to facilitate temporary provision of space to accommodate larger classes. - Full team in place to work alongside DFE to help support the delivery of additional spaces through the current government programmes such as free schools. This includes review current surplus council assets and land. - In order to reach a point of certainty in the provision of space we are working both internally and with assistance from independent experts to review our place planning forecasts and develop phased provision of new space. This work is being managed by an internal - Schools Estates Governance Board and is reporting regularly. - Ensuring all projections and tolerances are understood including contingency measures which need to be implemented at each milestone and check point should it be identified that we the authority is falling below the projection.	3	4	12	Treat	- Following a review of the pupil place planning team we are now recruiting and placing further resource into this area to strengthen our oversight, - Closer working relationship with trusts, DFE and the RSCs offices, - Education board established to ensure greater scrutiny and understanding of pupil place risks and standards. - Great clarity on data sets and impacts of other element, such as Brexit on student and cohort class room growth in the city, - Data reviews received frequently but sufficient control measures currently in place - Should additional resource be required this will be put in place - Close working with both school in the city and government programme is continuing to ensure sufficient places are provided.	3	2	6		**Richard Sword**	30/09/20 and ongoing

Risk Register Owner: Andy Keeling, COO   **Date completed: 27/08/20**

RISK *What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?*	CONSEQUENCE/EFFECT: *What would occur as a result, how much of a problem would it be, to whom and why?*	EXISTING ACTIONS/CONTROLS What are you doing to manage this risk now?	Impact	Probability	Risk	RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for ...)*	FURTHER MANAGEMENT ACTIONS/CONTROLS	Impact	Probability	Risk	COST	RISK OWNER	TARGET DATE
18. SUPPORT FOR PUPILS WITH SEND Following a Local Area Review of SEND in Spring 2018, a written statement of action was required in order to show how improvement would be brought about. These improvements need to be achieved in the context of significant financial pressures on the High Needs Block (HNB) which will require the Council to reduce expenditure on SEND for 2019/20 when reserves of the HNB are exhausted.	Failure to implement improvements would lead to an extension of the WSOA requirements and reputational damage to the Council. It could also impact on the forthcoming ILACS inspection of children's services. - Failure to ensure reductions in spend on SEND however would mean that the Council would have to financially subsidise the HNB	- There have already been four joint review meetings with DfE and CCG and in the last such meeting it was concluded that good progress is being made against action points. - In relation to budget pressures, a report was commissioned by an external consultant in which options have been put forward for reductions in spend for mainstream school top ups and special schools. In addition, savings are being looked at from staffing and reductions agreed in relation to vacant posts in the first instance. - On the WSOA improvements, there is a significant amount of improvement work taking place, including quality assuring of EHCPs and work with schools to secure better educational outcomes for pupils with SEND.	3	4	12	Treat	- In relation to budget pressures, options will need to be considered for a possible restructure of SEND staffing in line with statutory and non statutory functions.	2	4	8		**Richard Sword**	30/09/20 and ongoing
19. CORONAVIRUS (SARS coronavirus-2 (SARS-CoV-2)) Locally results in significant loss of staff at any one time and/or wider national measures designed to slow the spread of COVID-19 cause significant impacts on service delivery and the wider city	Council is unable to deliver any services including essential/critical services, or only deliver to a significantly reduced extent. Significant risk to the health, safety and welfare of staff and residents including vulnerable services users. Significant impacts on the local economy causing resulting impacts financially on the Council from reduced revenue including loss of income for commercially traded services. Reputational damage should the Council not be able to respond adequately	In light of an increases in cases in Leicester compared to nationally a local lockdown has been implemented by Government. An Incident Management Team has been set up supported by PHE which reports into the LRF SCG and which is focused on managing the rise in cases to stop the transmission of the virus and to bring the position back in line with regional and national levels. The IMT has a umber of key cells focused on key activity including testing, communications, community engagement, epidemiology, business engagement, social care and health and healthcare. A significant programme of testing in the priority areas where there are higher numbers of cases is taking place supported by follow up in terms of contact tracing, and detailed epidemiology activity. The work has been supported by regional and national resources including the military, PHE, DHSC as well as a range of local partners. A two week review of the local lockdown took place 16.07.20 by the SofS and the lockdown was to continue for a further two weeks but the geographical boundary focused in one the city and Oadby and Wigston and all other areas of the county previously included were removed.	4	5	20	Treat	Transition plan for leading and managing the local lockdown via a locally managed response is being finalised in line with the local outbreak plans. The IMT and LRF structures will continue with the Political Oversight Board ensuring oversight by the City Mayor and Leader of the County Council. Intensive testing programme will continue along with other key activity such as comms and community engagement to seek to stop the transmission of the virus and ultimately to then sustain this position. A medium to longer-term plan which ensures preparedness for winter when there may be a higher risk in terms of a rise in cases and impact on the NHS to be developed and robustly led and delivered.	4	4	16		**Miranda Cannon / Ivan Browne**	30/09/20 and ongoing