

## Appendix 4 - Leicester City Council

### Risk Register Owner: Andy Keeling,

Risks as at: 31/01/2021

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			Response Strategy / Action  Select from the 4T's  Tolerate, Treat, Transfer, Terminate	Further management actions/controls required	Target Score	Cost	Risk Owner	Review Date
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### STRATEGIC AREA - City Development and Neighbourhoods

<b>1. Housing - Homelessness</b> Ongoing pressure and risks associated to statutory homeless cases requiring temporary accommodation exaggerated by budget, capacity and housing stock reductions as well as impact of UC roll out. The roll out of the EU resettlement programme placing additional pressure of homelessness services. The Covid 19 pandemic has increased this risk with the requirement to temporarily house all who were rough sleeping / at risk of rough sleeping. Asylum seeker placements in hotels in Leicester City has also increased the risk of increased demand from this cohort.	- Supply of temporary / emergency accommodation may not meet demand and will be more expensive. Alternative temporary accommodation will be needed i.e. Bed & Breakfast - Increased budget pressures - Inability to meet demand for preventative homelessness services impacting on crisis management. Increased costs of temporary accommodation and the pressure of having move on options for a large cohort of those accommodated	- Funding for preventative measures in reflection of additional burdens from new legislation have now been mainstreamed and combined with FHSG - Uplift of funding for 21/22 - Homelessness strategy challenging supply and types of temporary accommodation to meet individual needs - Recruited additional workforce - Successful bids for additional funding to focus on rough sleeping (new initiatives) - Different models of TA to move away from historic "institutional" settings. Monitor additional applications from EUs through resettlement process. Consult legal for compliance with process. Brexit and impact on EUs. Training delivered to key staff to manage this and prioritise progression of settled status applications - Working in tandem with other stakeholders and parties on the Homelessness Charter is delivering and focussing services - New initiatives implemented to increase availability of permanent housing solutions and the introduction of a Social Lettings Agency. - Rough Sleeping Next Step Strategy developed in response to increase demand for services throughout the pandemic and the re-configuration of services and loss of Safe Space. - Significant pressure on services due to Covid 19 and 'Everyone In' Single Homeless Pathway developed to manage this.	4	4	16	Treat	- Roll out of homelessness strategy actions (preventative) to enhance and expand on existing control - Enhanced communications strategy - Ongoing development and embedding of the Homelessness Charter - Build new Social Housing - Buy Market houses to use as Social Housing - Develop relationships with private sector landlords - Next Steps funding secured to assist in the management COVID 19 additional throughput costs	3	3	9	Chris Burgin	31.05.2021 Ongoing
<b>2. Neighbourhood and Environmental Services</b> <b>Ash Dieback - Epidemic of Ash Trees</b> Caused by an introduced pathogen that most local ash trees are unlikely to have resistance to. It is anticipated that up to 95% of the tens of thousands of ash trees in the city will die. Perhaps 50% of the total will be the council's direct liability. Many trees are located on traffic routes or in areas of use and habitation. Dying and collapsing trees will present an injury and property damage risk, and present a hazard risk to staff during removal operations. Under normal conditions £135k per year is devoted to clearing similar problems across all species. It is anticipated this cost will multiply several times at the height of the epidemic.	- Injury to staff and residents, including highway users - Damage to property including animal injury, buildings, parked and moving vehicles, various infrastructure and parks and street furniture - Disruption to traffic routes and areas of high use during removal operations	- Established teams, structures and systems will address problems in the early stages. - These can be built on further as the problem starts to strain existing resources. - There is no way to limit or control the establishment and spread of the pathogen as it is a windborne micro-organism. In essence management is a reactive process.	4	5	20	Treat	Effective and timely reactive responses. - Exec briefing arranged. - Capital funding bid to be submitted. - Contact APSE for other LA best practice. Lead Member briefed and contingency provision included in draft Capital programme.	4	2	8	John Leach	31.05.2021 Ongoing

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<b>3. 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.	<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>- Managing expectations with senior officers / stakeholders</li><li>- Accessing external grants</li></ul>	4	4	16	Treat	<ul style="list-style-type: none"><li>- Building adequate criteria and expectations into Service Reviews.</li><li>- Creating temporary project roles where relevant.</li><li>- Income generation to fund service specific posts / resources.</li><li>- Better use of existing internal &amp; external resources (partnerships) - understanding impact of Covid and the increased demand on during recovery.</li></ul>	3	3	9		John Leach	31.05.2021 Ongoing
<b>4. 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&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. Director of EBS now progressed further work.	<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>- NES/P&amp;O have ensured operational mitigating action in place. 113Dedicated Banksman employed to manage traffic movement on site.</li><li>- All staff trained in banksman duty of care.</li><li>- H&amp;S team undertaken review C13of short term safety measures for pedestrians and vehicles on site.</li><li>- £125k approved from Loss Reduction Risk fund to install one way system, plus £10k EBS. (NEW ADDITION). Meeting held with EBS 11th April - Trees and Woodland Team and Landscapes Team ensuring all appropriate alternative storage options are utilised. EBS committed to confirmation/delivery of scheme within budget and to providing implementation timescale asap. Andy Keeling supporting NES urgent request for appropriate action.G16</li></ul>	5	3	15	Treat	<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><li>- Capital project established and full Planning Application submitted 9 October 2019 with provisional start date 4 February 2020.</li><li>- Planning approval decision received 02 April 2020 which delayed programmed start date. Vegetation clearance completed pre bird nesting, works to fully commence post Covid 19 to be completed this financial year.</li><li>- New drainage scheme designed in line with Planning requirements, plans approved by Severn Trent to discharge into the surface water sewer. Methane survey commissioned. Planning Permission approved. Project put on hold on 11/12/2020 by Strategic Director pending review of alternative use of space and in light of a potential Park and Ride Scheme which would impact on the planned road if progressed. The timescale for this suggested by Planning leads to commence is July 2021. Assessment taking place if an alternative venue can be used to decant certain operations. Management Plan remains in place - On site Managers aware of need to comply with this. EBS tasked with finding suitable alternative accommodation asap given the latest position.</li></ul>	5	3	15	£135k	John Leach/Matthew Wallace	31.05.2021 Ongoing

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<b>5. Neighbourhood and Environmental Services - Reduction in Income Generation Programmes</b> With reductions in public demand for services such as 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. Long term impact of Covid on income generating services such as room hire.	- Budgets are not adhered to. - Income streams continue to reduce (e.g. Building Regs) due to the economic climate. - Targets remain the same or increase, against income sources and staff reductions. - One off income is disclosed as recurring, increasing the savings gap. - Internal recharges, e.g. for community space, will reduce as services reorganise.	- Budgets are in place and alternative savings option appraisals are performed and saving plans are implemented. - Policies and procedures are in place. - Ashco business development arrangements are in place. - An agreement is in place for withdrawal of internal services from community settings under the TNS programme. - Draw on external funding	3	5	15	Treat	- Introducing new ways of working to encourage entrepreneurial opportunities - External funding opportunities further explored - prioritise relaunch of income generating services post Covid.	2	4	8	N/A	John Leach	31.05.2021 Ongoing
<b>6. Planning, Development and Transport - Highways &amp; Transport Services Covid19 Impacts</b>	- Service suspensions, unforeseen expenditure, reduced income, fee recovery, staff safety, public safety, programme delivery, availability of resources.	- Business continuity plans	4	4	16	Tolerate/Treat	- RAMS undertaken for activities. Financial impacts assessed and mitigation measures in place with finance. - Ongoing monitoring in place. Works have been reprogrammed and resourcing implications assessed.	3	4	12		Andrew L Smith	31.05.2021 Ongoing
<b>7. Tourism, Culture &amp; Investment - COVID-19</b> restrictions impact on viability of businesses in the short, medium and long term.	- Vacancy rate increases and appeal of city centre is reduced. Lack of visitor confidence leads to low footfall. - Business failure	- Support provided to LCC to get Govt business grant funding claims paid to eligible businesses who either receive SBRR or are in the retail, leisure and hospitality sectors. - City Centre Director is a member of the LLEP Business Growth economic cell. - City centre recovery partnership established with BID Leicester. - LCC leading on economic recovery plans for Leicester. - ERDF Opening High Street grant funding supporting all sectors in city centre and neighbourhoods	4	4	16	Treat	- Reopening Leicester multi-agency group chaired by LCC in place with NTE and Comms cells. - Place marketing plan with additional funding being presented to CM and Exec for approval to promote the place, tourism and inward investment when the time is right in the Covid climate to do so. - Additional lockdown grant and discretionary grants paid out mid Sept to help businesses, especially those who have received previous grant help. - LLEP recovery strategy drafted. - LCC recovery plan written	3	3	9	BID funding and reviewing support from LCC funds and LLEP Growth Fund	Mike Dalzell	31.05.2021 Ongoing
<b>8. Tourism ,Culture and Investment - De Montfort Hall: Covid-19 UPDATE: Unable to trade due to govt lockdown.</b> Inability to maintain income to achieve planned financial outturn due to lack of audience, unavailability of shows, unpopular shows, market conditions.	- Income targets not achieved with consequential overspend against revenue budget or unrealistic reduction in revenue budget. - Income targets not achieved. Additional cost of operation to LCC. - Loss of cultural activity for city residents.	—Covid-19 UPDATE: Unable to trade due to govt lockdown.	3	5	15	Tolerate	- COVID19 UPDATE: No mitigation possible at present as unable to trade. Manage through Covid budget adjustments. Reviewed quarterly Budgets monitored and reforecast monthly	3	5	15		Mike Dalzell	31.05.2021 Ongoing

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<b>STRATEGIC AREA - Corporate Resources &amp;Support</b>													
<b>9. Delivery, Communications and Political Governance - City Catering Service losing business</b> Further loss of schools / decline in school meal uptake make the service unviable. Coronavirus adding additional pressure on the service and presents some ongoing uncertainties and disruption around budget and service delivery.	- If the current rate of decline continues then the service will soon begin to make a loss. Impact on other services due to the difference being picked up by the General Fund affecting delivery of those other services. - Potential food shortages and extended lunchtimes due to social distancing impacts on costs	- Review undertaken by APSE Consultant. Service improvement Plan in place and being worked on. Work ongoing in relation to current financial year and budget forecasts and pricing strategies	4	4	16	Treat	- Detailed route map to be prepared and discussed with Executive to identify clear priorities for the next 12 months and longer-term - will need to take account of any ongoing impacts of Coronavirus as well as lessons learnt from that	3	4	12		Miranda Cannon	31.05.2021
<b>10. Finance - Information and Customer Access - Cyber Security</b> Increasing profile and expertise to circumvent established defences increase vulnerability of LCC data.	- Data hacked and released into public domain - Reputational damage - seek alternative more expensive solutions - Fines from ICO - Staff stress increases - Damage to identified individuals - Denial of service	- Technology defences; - Awareness campaign; - Targeted follow up's; - Built into new system standards from 3rd party applications (secure passwords, TLS); - Daily back-up of systems - Maintain clear Major incident Management processes - Understand RPO and RTO capability for recovering critical systems - Appointed Security Operations Centre Lead to review and respond to threat intelligence - Achieved Cyber Essentials and cyber essentials plus accreditation - Undertaking Cyber Security Gap Analysis in light of increased flexible and mobile working	4	5	20	Treat	- Implement new Technology solutions to address increasing threat during crisis e.g. COVID-19 - Enhance Cloud Security - Continued Staff awareness training etc.. - Maintain Cyber Essentials Compliance - Review end point security tools - Respond to the new threat from Ransomware which attacks and compromises backup data	4	5	20		Alison Greenhill	31.05.2021 Ongoing
<b>11. Finance - Financial Challenges</b> The Council fails to respond adequately to the future funding outlook or additional cost pressures arising from the Covid pandemic.	- Budget balanced in 20/21 and will be balanced in 21/22 - Further work required to balance the medium term - Additional risk due to pandemic, and uncertainty over Government funding, after 21/22	- Budget balanced in 20/21 and 21/22. - Close management of additional Covid spend. Service transformation fund;	5	4	20	Treat	Substantial budget review for 22/23 to start early in 2021	5	3	15		Alison Greenhill	31.05.2021 Ongoing
<b>12. Finance - IT Tactical Decision Making</b> Business solutions considered by services, which impact upon Information Services service delivery, are taken without consultation or considering the impact	- Increased budget pressure to implement / maintain expensive; - Increased pressure achieve service budget / targets; - Staff morale decreases; - Reduction in service capacity; - Breach of licences leading to fines; - Security risks of data / service; - Service support to other parts of council affected; - Internal reputational damage;	- Consultation with HoS to increase knowledge and understanding of IT requirements at early stages of projects; - Create Target Operating Model (TOM); - Enforcing Digital Transformation (DT) gateway process; - Provide clear criteria for commissioning new IT solutions; - Business Continuity (BC) process includes costs to service; - Increased DT Governance is addressing this area. - External consultancy reviewed architectures and 'monolithic' applications and currently planning next steps to implement their findings.	4	4	16	Treat / Tolerate	-Monitor effectiveness of identified mitigations to determine future actions / plan  - Seek Exec approval to implement new technologies - Ensure all in-flight and future procurements align with new strategic technologies	3	4	12		Alison Greenhill	31.05.2021 Ongoing

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<b>13. Finance - Introduction of Universal Credit (UC) Full Service</b>  'Implementation of UCFS was June 2018. Rollout will take 2/3 years to fully complete. Claimants move from LCC administered HB to DWP administered UC. Risk is impact on claimants changing from 1 system to another and the significant differences between the 2 regimes	<ul style="list-style-type: none"><li>- Adverse impact on resident household income</li><li>- Increasing poverty</li><li>- Rent arrears (HRA)</li><li>- Potential homelessness</li><li>- Increased demand for discretionary funding</li><li>- Adverse impact on CT collection and increased arrears</li><li>- Increased demand for welfare advice services</li><li>- Increased demand for CTS claims that result in higher costs for LA</li><li>- Funding from DWP not adequate for the amount of work derived from changing from legacy benefits to UC</li></ul>	<ul style="list-style-type: none"><li>- LCC UC strategy, risk log and ETA</li><li>- Comms and action plan</li><li>- Engagement with DWP &amp; SWAP</li><li>- Staff training</li><li>- Increased demand for Housing</li><li>- Joint working with Housing</li></ul>	4	4	16	Treat	<ul style="list-style-type: none"><li>- Monitoring and reporting to DoF and Executive</li><li>- Regular engagement with DWP</li><li>- Redirection of staff resources</li><li>- Regular review of customer support</li></ul>	3	3	9			Alison Greenhill	31.05.2021 Ongoing
<b>14. 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.	<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><li>- Improved use of technology e.g. Electronic Signatures/Virtual Hearings.</li></ul>	4	4	16	Treat	<ul style="list-style-type: none"><li>- Review of practices.</li><li>- Increase comms program/training and awareness of current practices (deadlines with project plan).</li></ul>	4	3	12			Kamal Adatia	31.05.2021 Ongoing
<b>STRATEGIC AREA - Social Care and Education</b>														
<b>15. Adult Social Care Services &amp; Safeguarding - Mental Health - Statutory Duty</b>  LCC is legally obliged under the Mental Health Act (MHA) to provide 24/7 service. Current issue is the lack of trained Adult Mental Health Practitioners (AMPs). (although recent recruitment has reduced this risk) This is a national issue. Covid-19 individual risk assessments for staff combined with increased demand is placing pressure for visits on a reduced pool of staff	<ul style="list-style-type: none"><li>- Risk of harm to, or by, mentally ill person</li><li>- Breach of compliance and possible fines</li><li>- Reputational damage</li><li>- Impact on morale and stress if staff working outside hours</li><li>- Increased staff turnover leads to immediate resource issues; also recruitment and training requirement</li><li>- Potential delays and can increase working hours.</li><li>- Not meeting MHA legislation</li><li>- Potential delays and can increase working hours.</li></ul>	<ul style="list-style-type: none"><li>- 24/7 rota in place.</li><li>- Using non-AMHPs for appropriate functions</li><li>- Offered additional pay to cover Bank Holiday shifts.</li><li>- Market supplements in place.</li><li>- Rolling recruitment/adverts.</li></ul>	4	5	20	Treat	<ul style="list-style-type: none"><li>- Possible T&amp;C for Social Workers.</li><li>- Temporary use of overtime payments to incentivise staff and reduce the use of TOIL, which further eats in to available capacity</li><li>- Re-assignment of AMHP qualified staff member to the AMHP FT team</li></ul>	4	4	16			Ruth Lake	31.05.2021 Ongoing

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<b>16. Adult Social Care and Commissioning Contractual Agreements</b> Failure to complete contractual agreements to build new extra care developments at Tilling Road and Hamelin Road	Reputational damage and potential action against the council	Extra care Delivery Group established to project manage delivery of the schemes.	4	4	16	Treat	Discussions in progress with the Andy Keeling and Places for People CEO, as a means of resolving the risk issues associate with the proposed contractual arrangements.	4	4	16		Tracie Rees	31.05.2021 Ongoing
<b>17. Adult Social Care and Commissioning</b> - Passenger transport for Children and vulnerable adults via external contracted Taxis not being available due to failed procurement, and lack of drivers following communication of rates.	Children unable to get to school; adults unable to get to support services	Current contract extended until 22.2.2021 to allow for a period of engagement with taxi operators. Clarity provided to the market on the implications of not signing up to the new arrangements. Information given to taxi drivers. Covid fee agreed.	4	4	16	Treat	Commencing planning for procurement exercise; further follow up letter to drivers to manage understanding of Taxi operating costs.	4	4	16		Tracie Rees	31.05.2021 Ongoing
<b>18. Adult Social Care and Commissioning Implications of Covid-19</b> External providers unable to support vulnerable individuals, due to loss of staffing,	- Staff in residential/nursing care homes are to be tested on a 3 times weekly basis with the addition of LFD testing. - Risk that large numbers of staff will be positive of Asymptomatic meaning they have to self isolate for 7 days - This could lead to insufficient staff to support the elderly and vulnerable. - The increased testing for staff providing domiciliary care and supported living could also impact on the provision of support to a range of vulnerable adults.	- 'Emergency plan being developed to create a bank/team of staff with the required skills that could assist if needed. This team will be created from re-deploying LCC staff, volunteers and the use of mutual aid. - It should be noted that whilst the Council is doing everything possible to support the external market, there is still a risk that organisations may not be able to provide the required support, due to staff absences.	4	4	16	Treat	- Key officers linked to the IMT, Care Home Cell, PPE and Testing cells reporting to the Local Resilience Forum.	4	3	12		Tracie Rees	31.05.2021 Ongoing
<b>19. 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	- Strategic Oversight and clear governance arrangements in place; - SCE Programme Board oversees all budget reduction projects.	5	3	15	Treat	- Star Chamber oversight regarding saving reductions and undeliverable savings.	5	3	15		Caroline Tote	31.05.2021 Ongoing
<b>20. Commissioning and Performance - Insufficient Places for infants</b> There are insufficient places for 2, 3, and 4 year olds to meet demand as nurseries are no longer financially viable following Covid19 lockdown and reduced capacity. Risk is heightened due to local lockdown and providers not being able to offer a full range of holiday provision.	- Parents are unable to find appropriate places for their under-5s and cannot return to work. - Childcare sufficiency is a statutory duty and could lead to poor judgements being made on the council	- Continual review of the situation both prior and during the pandemic. - Officers have undertaken an audit to determine the likelihood of settings remaining closed or under financial risk. - Identifying which settings are at highest risk and appropriate criteria for additional funding.	3	5	15	Treat	- Use audit information to inform whether any additional financial support could be provided to the most vulnerable settings during return to normal capacity. - Additional funding for holiday care to be identified for the most at risk providers	3	3	9		Sue Welford	31.05.2021 Ongoing

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### STRATEGIC AREA - Public Health

<p><b>21. Contract for IT system is noncompliant and needs to be replaced.</b></p> <p>Lack of capacity within key LCC teams is extending timescales beyond the contract end date. There is a risk that the service is left with an noncompliant and outdated system due to the lack of upgrades. The existing system will also be without maintenance support with no extension or new contracted service - IT issues or system failure would result in widespread service disruption.</p>	<ul style="list-style-type: none"> <li>- Large scale service disruption with difficulty accessing customer records</li> <li>- Reputational damage</li> <li>- Not in line with industry standards or like for like operators leading to reduced sign-ups and potential loss of existing customer base.</li> <li>- Reduced income generated and difficulty of hitting savings targets increased.</li> <li>- Potential that new solution is rushed increasing risk of a sub-optimal outcome.</li> <li>- Negative impact on following PH strategic objectives: <ul style="list-style-type: none"> <li>- Healthy Lives: we will keep people healthy and reduce preventable illness in adults</li> <li>- Healthy Minds: we will improve health and well-being across the life course</li> <li>- Healthy Places: we will maximise opportunities to build health through the built environment and across the city &amp; respond to threats to public health</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>- A tender for a replacement system started in July 20.</li> <li>- Close working with DT and IT Procurement in an attempt to expedite the process.</li> <li>- Tender outcome specification from similar local authorities to support process obtained and reviewed.</li> <li>- Concerns escalated</li> <li>- Working with transformation change manager and IT procurement to ensure procurement of effective IT systems</li> <li>- Retender process agreed with Procurement</li> </ul>	5	4	20	Treat	<ul style="list-style-type: none"> <li>- Political escalation to increase priority within partner LCC divisions - ICT Procurement and Legal Services.</li> <li>- Gain approval to extend the current contract as an emergency measure to allow for implementation and configuration of, and training staff on, the new system.</li> <li>- Secure back ups and prep data migration to new system to facilitate fast implementation.</li> <li>- Continue to build closer relationships with IT procurement and legal teams leading to a better understanding and agreement of processes and timescales required.</li> </ul>	4	3	12		Ivan Browne	31/05/2021
<p><b>22. Budget - External Influences</b></p> <p>External national imperatives without associated budget introduced which will impact on local delivery</p>	<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> <li>- Call on PH reserves</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> <li>- Strong engagement with national partners to aid horizon scanning and early signposting of potential issues</li> </ul>	4	4	16	Treat	<ul style="list-style-type: none"> <li>- Political escalation;</li> <li>- Corporate responsibility;</li> <li>- Service &amp; budget planning</li> <li>- Continue to utilise partnership approach</li> <li>- Explore alternative treatment/therapy options</li> <li>- Safeguard PH reserves in order to preserve ability to provide adequate response without significant detriment to corporate purse</li> <li>- Continued monitoring of medical landscape, and updates to guidance and clinical standards</li> </ul>	3	4	12		Ivan Browne	31.05.2021 Ongoing

## Appendix 4 - Leicester City Council

Risk Register Owner: Andy Keeling,

Risks as at: 31/01/2021

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			Response Strategy / Action  Select from the 4T's  Tolerate, Treat, Transfer, Terminate	Further management actions/controls required	Target Score			Cost	Risk Owner	Review Date
			Impact	Likelihood	Risk			Impact	Likelihood	Risk			
<b>23. Budget Restrictions - Commissioning</b> Reduced budget for services impacts on financial viability to potential 3rd party contractors who may deem package to be unsustainable.  Providers could be come unsustainable following COVID 19 without an uplift or adjustment to the funding received from PH	- Loss of existing contractors unable to fulfil contracts within reducing financial envelope; - Providers close down due to lack of funding required to keep services open - May not be attractive to new providers during tenders; risk of failed procurement - Loss of service provision; - Impact on community who require service; - Impact on NHS as demand increases for other services; - Decreased morale; - Reputational damage to LCC	- Bespoke procurement methods; - Briefing of lead members to highlight potential risks and consequences; - Internal decision making process; - Expertise within team to assess choices and inform management briefings / options appraisal; - Advocacy by Director Public Health (DPH) with national bodies; - Provider negotiations; Providers have continued to be paid regardless of performance due to the pandemic to ensure the suppliers (and the wider delivery chain) stay afloat and will remain to deliver services when normal life resumes - Working with internal departments (legal / procurement / contract management / finance) - Services jointly commissioned where possible / appropriate to increase efficiencies relating to economies of scale and cross border activity as well as available resource to mitigate issues	4	4	16	Treat/Transfer	- Continue with existing controls; - Continue to joint commission where appropriate (internal with LCC, and external with county and regionally) - Close monitoring of emerging risk from County moving towards an independent / inhouse delivery model - Implement management of change processes -Continued exploration of new and novel approaches to commissioning including encouraging consortium applications and use of section 75 - Continued monitoring and increased engagement of suppliers to pre-emptively identify potential issues - Renew Business Continuity Plans to ensure minimal service disruption in the event of supplier failure. - Request BCP's from suppliers to ensure a reasonable level of resilience	4	3	12		Ivan Browne	31.05.2021 Ongoing
<b>24. 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 - impact on customers and loss of income	- 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; - Project group in place with IT, DT, and ICT Procurement to establish problems / limitations of current systems and review options on market as solutions - Scrutiny of current systems to review concerns - SS Data Project Officer in place/ new tender for software provider undertaken	4	4	16	Treat	- Continue engagement with IT, DT, and ICT Procurement project group to continue monitoring of current systems and review options on market as solutions as appropriate - Ensure adequate engagement of CCG/ HIS to ensure systems run as effectively as possible - Ongoing monitoring and review of our own systems to identify gaps or inefficiencies. - Ensure that solutions procured or created are fit for purpose and do not become a burden over time as needs evolve or increase - Conduct a 'lessons learned' exercise from previous / ongoing technology procurements to ensure experience is carried forward	3	3	9		Ivan Browne	31.05.2021 Ongoing



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Risk Register Owner: Andy Keeling,

Risks as at: 31/01/2021

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			Response Strategy / Action  Select from the 4T's  Tolerate, Treat, Transfer, Terminate	Further management actions/controls required	Target Score			Cost	Risk Owner	Review Date	
			Impact	Likelihood	Risk			Impact	Likelihood	Risk				
<b>25. 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. Reserves and funding taken away from PH budget to support general council budget pressures following COVID 19 Increased demand for public health services in response to COVID 19. Capital Costs increase beyond the approved budget creates service budget problems	<ul style="list-style-type: none"><li>- Change in service provision;</li><li>- Lack of services to meet COVID 19 response and recovery programme</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><li>- continued decline in condition of leisure centres/negative impact on customers and income</li><li>- unable to deliver leisure centre capital programme due to unaffordability</li></ul>	<ul style="list-style-type: none"><li>- PH Return to Central Government (Return On Investment (ROI));</li><li>- Staffing restructure ongoing</li><li>- Employing new commissioning and delivery model for key services;</li><li>- Invest to save opportunities explored</li><li>- Bids for funding being written and submitted across the team as opportunities arise.</li><li>- Internal briefings / decision making process;</li><li>- Political oversight / Scrutiny</li><li>- Articulating associated risks; through spending review process,</li><li>- Clinical Governance Process in place</li><li>- Monitoring to identify adverse effects</li><li>- Maintenance Plans with EBS</li><li>- Corporate funding bids for Leisure Centre Capital Programme ongoing</li><li>- Alliance Leisure appointed via National Leisure Framework</li><li>- Customer retention plans and actions put in place to reduce subscription cancellations from customers unable to use leisure centre services which would impact income generation</li></ul>	3	5	15	Treat	<ul style="list-style-type: none"><li>- Continue with existing controls;</li><li>- Secure additional revenue e.g. income generation through commercial opportunities</li><li>-Continue to explore a variety of potential local and national funding opportunities including commercial, government, academic, grant funding,</li><li>-Utilise in kind support/asset sharing where possible</li><li>Cross organisational opportunity review of priorities and resources</li><li>- Continue ROI Business Cases to fund capital improvement/improve income and customer experience</li><li>- Explore use of LCC volunteer pool to engage in PH initiatives</li><li>- Business case to outline justification and need for ringfencing PH reserves to mitigate / respond to any further PH emergencies, and to deal with longer term impacts of Covid 19 as they arise.</li></ul>	2	5	10		Ivan Browne	31.05.2021 Ongoing	