Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Alison Greenhill, COO   **Date completed: 30/09/21**

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 definitions and further guidance):*	FURTHER MANAGEMENT ACTIONS/CONTROLS	Impact	Probability	Risk	COST	RISK OWNER	TARGET DATE
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 and 2021/22 - Further work required to balance the medium term - Additional risk due to pandemic, and uncertainty over Government funding, reduced income either in respect of the pandemic or beyond 21/22 - Crisis cuts, made in a hurry. Lasting impact on services	- Close management of additional COVID spend - Service transformation fund - Managed reserve balance available to smooth 21/22 - Budget setting for 21/22 has taken into account actions required going forward in light of best available information and assumptions Budget approved for 2021/22 and utilises reserves to smooth the financial year. Detailed longer-term financial planning commenced for 2022/23 and beyond to identify potential savings options based on best available information and assumptions in the absence of details of future Local Government funding	5	4	20	Treat	- Continue longer-term financial planning for 2022/23. Ongoing robust budget monitoring and appropriate spend controls including work which is underway to review and challenge overtime spend, senior management reviews of A2Rs requests and design of a new procurement gateway process to review and challenge procurement requests.	5	3	15		**Alison Greenhill / Colin Sharpe**	31/01/22 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 ongoing response and recovery 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 During the pandemic this has been on hold but there has been a very regular dialogue and engagement with faith and community organisations and representatives which has helped to further develop networks and have been important in responding to the pandemic. The CM Faith and Community Forum approach will be reviewed in the light of this. - Arrangements for engagement of, and support to, the Voluntary Community Sector (VCS) have been commissioned and contracts are in place. Contract with VAL has been extended to continue to support the Covid response and recovery in the short-term until end Sept 2021. Work is nearing completion on the VCS strategy which takes account of Covid learning and will inform longer-term support and engagement with the VCS. The strategy has been informed by significant stakeholder engagement. - 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. 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. Regular and ongoing engagement with the VCS and faith organisations as part of the response as well as close working with organisations such as VAL to support the volunteering response. Overall partnerships have been strengthened due to the close working throughout the pandemic. The LRF is currently finalising the debrief for the strategic and tactical co-ordinating groups who were key in the Covid-19 response across LLR and the strength of local partnership working throughout is recognised in that.	2	3	6	Treat	- Regular review and evaluation of the current position by Corporate Management Team. - Finalise the development of VCS strategy to inform future relationship and working with the VCS and take to Executive and Scrutiny for discussion - Key aspects of partnership working being reviewed and updated in the light of Ofsted findings e.g. LSCB -Ties across the healthcare system are being further strengthened with a specific Partnerships team recruited to PH to improve partnership working and information sharing. Regular development meetings are planned in between Health & Wellbeing board dates and HWB ToR and strategy papers are being reviewed and agreed across members.	2	2	4		**Miranda Cannon / All Strategic Directors**	31/01/22 and On-going

Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Alison Greenhill, COO

Date completed: 30/09/21

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			RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for definitions and further guidance):*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			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. - Less able or well placed to continue to respond to the current COVID-19 pandemic across LLR	- 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. - Public Health Consultant recruited to manage relationships across healthcare system partners and to drive collegiate working across board members. - Public Health have embedded a commissioning and contracts team within the division and have implemented Performance Review Groups and Quality Assurance Frameworks to manage delivery of services.											
3. CYBER RISK Loss or compromise of IT systems and/or associated data through cyber security attacks/Increasing profile and expertise to circumvent established defences increase vulnerability of LCC data.	- Potential financial or reputational damage to Council. - Potential Data Protection breaches. - Service delivery affected '- Data hacked and released into public domain - Fines from ICO - Staff stress increases - Damage to identified individuals - Denial of service	- 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 - Targeted follow up's including to staff whose actions may risk compromising securityand debriefs from any threats/incidents; - 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 - Undertaken¦ Cyber Security Gap Analysis in light of increased flexible and mobile working and investment made in additional measures/solutions to enhance security and which includes a response to the new threat from Ransomware which attacks and compromises backup data. - City Mayor briefed on overall measures in place and will receive regular updates	4	5	20	Treat	- Enhance Cloud Security - Continued Staff awareness training etc.. - Maintain Cyber Essentials Compliance - Review end point security tools - Continue to monitor and act on guidance from bodies such as National Cyber Security Centre (NCSC)	4	3	12		**Miranda Cannon / Carl Skidmore**	31/01/22 and On-going

Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Alison Greenhill, COO — **Date completed: 30/09/21**

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			RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for definitions and further guidance):*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk			Impact	Probability	Risk			
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. COVID-19 pandemic has meant all business areas have had their business continuity plans tested to varying extents which has provided valuable learning and experience for senior and operational service managers. The Manager, Risk Management chairs the Multi-Agency Business Continuity Group. - All Business Critical Activities for the council are identified and named in the LCC Incident Response Plan. 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 of Business Impact Analysis is being used to complete a more detailed review of what are business critical services . Work has been completed to combine the Council's Corporate Business Continuity Plan with the Major Incident Plan to create a single LCC Incident Response Plan to ensure there is a streamlined and co-ordinated approach between business continuity and major incident response. Training related to the new plan is being planned for later 2021/22. - BCP Strategy and Policy tailored for the council in place to meet organisational needs and is taken through an annual review and approval cycle with the Executive and reported to Audit and Risk Committee. - Training offered corporately and has been appropriately adapted to be delivered virtually in the current circumstance. - 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 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 LCC Incident Response Plan 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 - 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	4	2	8	Treat	- Further embedding of business continuity management approach through continued training and awareness raising. - Further completion of Business Continuity testing. - 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. - Complete the review of 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 - Business continuity plans are being discussed with and requested from Public Health commissioned services and suppliers to ensure appropriate levels of resilience for statutory services delivered	3	2	6		**Miranda Cannon**	31/01/22 and On-going

Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Alison Greenhill, COO | **Date completed: 30/09/21**

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			RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for definitions and further guidance):*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk			Impact	Probability	Risk			
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 has recently been reviewed and revamped and rolled out corporately - Monthly reporting of information security incidents and annual reporting to CMT on all aspects of Information Governance - GDPR action plan implemented and regularly reviewed - Work undertaken to prepare for changes arising from EU Exit in relation to data adequacy with additional period of time agreed between Govt and EU to now address this. - Corporate Information Group now meeting again regularly involving key areas and senior managers from across the Council to ensure robust policies, procedures and approaches are in place to information management and governance	3	4	12	Treat	- Clear and on-going communications to staff to reinforce policies & protocols. Data Protection and Freedom of Information training available across the Council - Regular review and monitoring of arrangements across services by Service Managers supported by Information Security/Governance Teams. - Ensure staff are aware of the policy around the management of electronic data and disposal of data - Ongoing review and updating of appropriate information sharing agreements. - Information asset registers, Privacy Notices, policies & procedures and contract clauses regularly reviewed - Regular external audit of GDPR compliance in place - Continue to monitor and take action accordingly in relation to changes arising from EU exit	3	3	9		**Alison Greenhill**	30/09/21 and On-going

Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Alison Greenhill, COO   **Date completed: 30/09/21**

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			RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for definitions and further guidance):*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk			Impact	Probability	Risk			
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, litigation 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. New Corporate H&S Manager in post and is reviewing the overall approach including H&S audit approach - Risk is reported and controlled through Divisional Directors Operational Risk Registers (presented to the CMT and the Executive three times annually 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 and for 21/22 audit plan are undertaking a further review looking at how effectively the approach is embedded at a divisional level. - 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 regular report on health and safety matters via the risk management reports. New Corporate H&S Manager also reviewing reporting approach Significant targeted work has been undertaken on absence management across the Council which has resulted in a reduction in sickness absence. A detailed and ongoing programme of work is in place around staff health and wellbeing including a strong focus on mental health and wellbeing. Significant support and guidance on this has been a key feature of the COVID-19 response, including a virtual health and wellbeing festival for staff and a working group overseeing this with involvement and support of TUs. - Current corporate equality strategy 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 which supports this is being refreshed and will be-monitored quarterly. EIA training successfully being delivered and has been refreshed and improved by new Corporate Equalities Manager. Targeted training delivered to CMT, Executive, Scrutiny Chairs and members. - Officer decisions process agreed and implemented 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. Regular communication to managers and staff on current COVID-19 rules and requirements particularly around safe working	4	3	12	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 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	3	3	9		**Kamal Adatia / Miranda Cannon**	31/01/22 and On-going

Risk Register Owner: Alison Greenhill, COO | **Date completed: 30/09/21**

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			RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for definitions and further guidance):*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk			Impact	Probability	Risk			
7. SAFEGUARDING - PROCESSES 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 meetings of the Statutory Partners, both for Leicester and across LLR - 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. Latest Ofsted inspection of Children's Service commenced 20 September 2021. - 24/7 Duty and Advice Service in place - Single assessment team in place which has resulted in a reduced caseload and more timely intervention - Version 11 of Liquid Logic implemented successfully	5	3	15	Treat	- Board performance and framework development. - Chair of Adults Board and Independent Adviser to Children's Partnership both have direct accountability through Chief Operating Officer. Independent Adviser to Safeguarding Children Partnership in place - Regular bi-annual meetings with Mayor and Adults and Children's Lead Members, and quarterly meetings of Strategic Director and Lead Member with City Mayor and Chief Operating Officer - Full implementation of all necessary improvements identified via the Ofsted inspection of Children's Services in 2017 - overseen by Improvement Board and Independent-Adviser. Review and respond to report and subsequently the recommendations of Sept/Oct 2021 inspection when received. - Performance framework in place across Children's - positive progress highlighted in recent Ofsted reports - Business Units being reviewed across LLR to ensure arrangements offer best value for money and meet requirements fully	5	2	10		**Martin Samuels**	31/01/22 and On-going
8. SAFEGUARDING - SKILL SHORTAGE A national skill shortage in conjunction with Leicester being a challenging area in comparison to neighbouring areas creates difficulties in securing or retaining Health Visitors.	- The ability of our commissioned Childrens services to provide adequate safeguarding is reduced, leading to an increased risk of : - Serious incidents being missed leading to death or serious injury to children or vulnerable adults - support needs not being identified or met. - Increased strain on existing Health Visitors leading to increased staff turnover and fatigue impacting quality of work. - Severe reputational damage to LCC.	- Commissioned Childrens service has introduced a skill mix framework to alleviate Health Visitor pressures whilst maintaining adequate safeguarding. - Ongoing work to make Leicester a more attractive location for Health Visitors to attract and retain skilled workers. - Strong relationship and regular communication in place with the service to ensure issues are identified in a timely fashion	5	4	20	Treat / Transfer	- Ongoing close monitoring of the service. - Consideration to be given to ability to further compartmentalise workloads into skill brackets needed in order to reduce strain on Health Visitors in regard to caseloads whilst retaining adequate skilled oversight of cases.	5	3	15		**Ivan Browne**	31/01/22 and Ongoing

Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Alison Greenhill, COO | **Date completed: 30/09/21**

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			RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for definitions and further guidance):*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk			Impact	Probability	Risk			
9. SCHOOL IMPROVEMENT The Council receives a school improvement grant for its retained statutory functions but this has been reduced year on year as schools have converted to academy status. De-delegated funding from School Forum for primary schools has led to the setting up of School Improvement Leicester. The council works in partnership with SIL to provide additional school improvement development. The Council's capacity to both support schools has been reduced but is in a stronger partnership to undertake its statutory role to hold schools to account. Additional pressures of COVID19 on schools and the lack of formal assessment in 2020 and in 2021 means that there is no data available to review remotely and the council will be reliant on reduced capacity to collate and review the position of its schools. The school improvement and monitoring grant provision is being reviewed by the DfE	- Poor OFSTED outcome for schools which affects morale and reputation and leads to poorer outcomes for children and young people	- Revised desk top analysis to identify potential underperformance in individual schools and settings based on previous years' data and other qualitative data - Revised School Improvement Framework that reflects the lack of statutory assessment information - Regular reporting to LTM and LMB on schools causing concern and targeted work - At risk schools discussed and warning notices considered - All schools are expected to carry out an annual safeguarding audit - Some schools , considered "at risk" and/or near inspection are offered an audit - Working with most schools in the Primary sector through a school-led system and a collaborative approach to school improvement. - 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 - Ongoing support for schools re risk assessments, sharing of good practice, and managing COVID. Wellbeing training and exemplar work for remote learning and assessment.	3	3	9	Treat	- Single plan implementation for RI schools Access to DfE funding for targeted schools. - Strong partnership working has been developed both across the LA and between schools to provide guidance support and challenge - Further development of the strategic leadership and collegiate development of an education strategy to improve outcomes and provision has been delayed by Covid. - Preparation for inspection to include briefing to all schools. - Further develop induction process for new heads. - Review financial controls on maintained schools (internal audit) - Intelligence gathering across council to gauge school's performance across its functions to inform where challenge and improvement is required. - Robust challenge to underperforming Governing Bodies	3	2	6		**Sue Welford**	31/01/22 and On-going

Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Alison Greenhill, COO | **Date completed: 30/09/21**

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			RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for definitions and further guidance):*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk			Impact	Probability	Risk			
10. 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) - Local Resilience Forum (LRF) county wide partnering arrangement in place. - 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 - City Council major incident plan combined with the Corporate Business Continuity Plan to create a single LCC Incident Response Plan to ensure a well co-ordinated response to incidents which both impact business continuity and require multi-agency responses such as COVID-19. 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. Regularly tested/used for large scale events - Logging system implemented to support major incident response and event management . Current COVID-19 epidemic required the full LCC and LRF emergency management response arrangements to be enacted. The LRF declared a major incident in response to the COVID-19 pandemic in early 2020 and in May 2021 stood down from a major incident and handed over to an LRF recovery structure to ensure ongoing co-ordination around recovery across LLR. 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. The LRF is currently finalising a debrief on the strategic and tactical response to Covid-19 which will make recommendations to support any future incidents - 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. - Ensure lessons learnt from recent LRF Covid-19 response debrief are reflected in future plans and arrangements - Member development programme includes briefings on emergency planning for Councillors	3	2	6		**Miranda Cannon / Ivan Browne**	31/01/22 and On-going
11. CLIMATE CHANGE An increase in hazardous weather events (flood, heat-waves, drought, windstorm, increased snow fall etc.) and the inability to respond to adverse weather conditions in a timely manner. A failure to support delivery of wider national climate change targets	- 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 - Negative impacts on local businesses - Not meeting carbon neutrality	- Corporate Management of this is outlined in the Climate Emergency Strategy & Action Plan which has been launched and which covers all areas of management activity across the Council. The Climate emergency is one of the council's top three priorities to tackle. Senior Officer Project Board in place chaired by the COO which is monitoring progress on delivery of the action plan - Management of climate change risk 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 prepared and has plans to respond to major weather events eg flooding. - Statutory flood and water risk management duties rest with the Lead Local Flood Authority Board. - The Council has been successful in securing £2.125m of Green Home Grant to continue supporting the delivery of low carbon and renewable energy efficiency measures to domestic dwellings within the city. A further £900k is being added to this programme by the Council to enable this work. - A Housing Division Climate Emergency Board has been set up to oversee delivery of the Corporate plan elements it is responsible for and also drive forward further work in the area of Housing and Transport to address the climate emergency - Members of the Corporate Senior Management team have undertaken Carbon Literacy Training to continue to inform, educate and raise profile and priority of Climate Emergency in the Council and this is being rolled out to scrutiny members	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 - Ongoing implementation of the new climate emergency plan - Continue to develop partnerships across the city to raise awareness and encourage action to address climate change	4	2	8		**Matt Wallace**	31/01/22 and On-going

Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Alison Greenhill, COO | | **Date completed: 30/09/21**

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			RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for definitions and further guidance):*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk			Impact	Probability	Risk			
12. 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. Bouyant and competitive recruitment market makes it harder to attract candidates	- 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	- Comprehensive Organisational Development programme in place covering a range of key priorities including: Enabling our best work programme which continues to focus on the leadership qualities and embedding them into the employee lifecycle along with the embedding of the quality conversations framework for employee performance management and supporting tools and guidance around performance management and leadership. Programme of leadership development scoped and commissioned and is being rolled out. Leaders Hub in place along with recently launched learning hub to provide virtual and elearning resources. Focus also on a workforce Equality, Diversity and Inclusion programme. - Active programme of work to support young people into employment and to utilise graduates, apprenticeships, work placements, kickstarts etc across the Council and to maximise the use of the apprenticeship levy. - Significant numbers of graduates and apprenticeships in place within the Council. - Weekly gateway review process implemented for strategic director level scrutiny of all recruitment requests with a particular focus on supporting entry to employment targets - OD 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. Further work being done to progress workforce planning in specific areas. - Ongoing work around solutions in relation to hard to recruit roles plus a focus on reducing spend and reliance on overtime through consideration of other appropriate solutions. - 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	4	12	Treat	~Delivery of OD programmes of work around leadership, entry to employment, workforce planning, performance management and regular reporting to Strategic Directors to review progress and impact - CMT agreed that workforce planning must be a higher priority and each division to identify and RAG rate critical posts in relation to succession planning and to identify high risk areas in terms services impacted by high turnover/difficulties recruiting and retaining staff etc	2	3	6		**Miranda Cannon / Craig Picknell / Strategic Directors**	31/01/22 and On-going
13. 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 have completed an analysis of commissioning and contract management corporately - Implications of EU exit on procurement procedures considered and advice provided to officers. - Any further impacts will continue to be monitored and guidance provided as necessary	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 tendering system and potential contract management system	3	3	9		**Kamal Adatia**	31/01/22 and On-going

Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Alison Greenhill, COO

Date completed: 30/09/21

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			RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for definitions and further guidance):*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk			Impact	Probability	Risk			
14. 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 - Business partners in the property team provide the necessary intelligence to the corporate landlord regarding corporate property requirements. - Continued development of effective planned maintenance programme is in place 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	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 - Review of future asset needs in conjunction with other Corporate work on New Ways of Working - Corporate Depot review and rationalisation ongoing	3	3	9		**Matt Wallace**	31/01/22 and On-going
15. 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 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 were agreed. - Digital Transformation Programme Manager in post. Lead Member involvement in the programme with regular lead member briefings. - Digital Transformation Board 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. DT Board has recently been refreshed with new terms of reference and expanded to become the Digital, Data and Technology Board reflecting a broader focus beyond just individual projects. - Key metrics agreed with the Board and being regularly reported including realisation of savings/efficiencies - Work underway on the further 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 - ICT commissioned an external review of ICT infrastructure to support development of a strategy which will underpin the medium-to-longer term digital transformation of the Council	3	3	9	Treat	- Complete the org review to embed the approach as on ongoing way of working - Continue with the DDAT Board and weekly gateway review process to ensure robust governance around digital, data and technology based transformation and projects. Build on this to develop clear programmes and governance around data, ICT architecture and customer experience	3	2	6		**Miranda Cannon / Carl Skidmore**	31/01/22 and On-going

Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Alison Greenhill, COO **Date completed: 30/09/21**

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			RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for definitions and further guidance):*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk			Impact	Probability	Risk			
16. 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. - 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 - 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. - Regular updates to all stakeholders in relation to pupil number projections.	3	3	9	Treat	- Following a review of the pupil place planning team we recommended recruiting and placing further resource into this area to strengthen our oversight, - Closer working relationship with trusts, DFE and the RSCs offices, - 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 and 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. - Progress is reviewed monthly by the Strategic Director of Social Care and Education and the Principal Education Officer. - A Senior Development Officer has been deployed to facilitate the progress of the Free Schools programme.	3	2	6		Sue Welford	31/01/22 and On-going
17. 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	–Ofsted and CQC reinspected the SEND service on 5/6/7 May and the verbal feedback highlighted the improvements made to 4 of the 5 domains. Formal written confirmation received and the LA has been required to submit an Accelerated Progress Plan (APP), which has been signed off by the Department for Education (DfE). The APP is due to be delivered by Jan 2022 and is being lead by health. The APP relates to the 1 domain that was non compliant. If the progress update is deemed to be sufficient then the Council's SEND service will no longer be subject to any DfE oversight. - A SEND position statement re the number of additional special school placements needed over the next 5 to 10 years, is due to be launched in December 2021,. This will be used to seek additional suitable dispersed special school placements (DPS's) which will reduce the cost of placing children and young people in the more expensive special schools, which is often not always needed. It will also enable out of area placed pupils to be placed in city schools, reducing the additional travel and residential costs. A programme Board is also in place to reduce the use of taxi costs. - A review of the High Needs Block funding is also in progress and a separate project is looking at reducing the number of taxi journeys for SEND children as a means of reducing costs. This includes approval from the Executive 16 Sept to consult on a revised SEND Transport Policy.	3	3	9	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	3	6		Tracie Rees	31/01/22 and On-going

Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Alison Greenhill, COO **Date completed: 30/09/21**

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			RESPONSE STRATEGY / ACTION *Select from the 4T's (see Process worksheet for definitions and further guidance):*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk			Impact	Probability	Risk			
18. CORONAVIRUS (SARS coronavirus-2 (SARS-CoV-2)) Locally results in significant loss of staff at any one time and/or wider national or local 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	- At the end of June 2020 in light of an increase in cases in Leicester compared to nationally a local lockdown was implemented by Government. - An Incident Management Team (IMT) set up for local lockdown continues to manage and oversee the response within the city. The IMT has implemented a range of interventions including a significant programme of testing using door to door and local testing units, significant communications and community engagement activity, locally led contact tracing including being one of the first LAs to very successfully pilot full local contact tracing, significant work to engage with businesses on COVID-safe practices as well as ongoing work to support social care and education. These interventions were successful in reducing significantly the number of cases in the city over the summer/early autumn 2020 and led to an easing of the additional restrictions placed on the city. - A report by Dame Mary Ney on lessons learnt from the local lockdown recognised and praised the local response and many of the interventions have now been replicated elsewhere. - Nationally restrictions were fully lifted although case rates remain high particularly amongst younger people and the city's rates have typically been above the national average. Work continues with Health to focus on maximising vaccination uptake particularly amongst specific groups with lower uptake as well as working to promote take up by 12-15 yr olds and of booster vaccinations	4	4	16	Treat	-The IMT and LRF structures will continue to oversee the city's ongoing response and recovery and will continue to update the City Mayor and Executive and other members including scrutiny via OSC along with all member briefings as appropriate. - 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. - Delivery of the vaccination programme to maximise levels of protection in the city and particularly targeted those groups with lower take up	4	3	12		**Miranda Cannon / Ivan Browne**	31/01/22 and On-going
19. CORONAVIRUS ECONOMIC IMPACT Loss of economic activity and rising unemployment impacts on demands for council services, reduces income streams and undermines city centre.	- Experience to date shows significant direct impact on council income streams from loss of revenue for parking, tickets sales etc. - Longer term impacts in regards to business rates and business failure uncertain. - Growing unemployment likely to result in distress for many household budgets, with further threat to rental payment, council tax collection etc. - Growth in income, social and health inequalities highly likely alongside growth in demand for other services linked to mental health, domestic abuse, drug and alcohol etc.	- Council services been flexed to respond to central government requirement to administer business support grants with £80.3m delivered to more than 6,400 businesses in recent months. - Support provided to over 12,000 vulnerable and shielding individuals. - Staff resources moved to support direct work to identify and reduce COVID infection. - Considerable amount of direct business support provided through council teams and working with partners. - Impact on council capital programme delivery mitigated by proactive renegotiations with contractors to enable projects to proceed. - Quick response to call for 'shovel ready' schemes will enable St Margaret's bus station redevelopment. - Close dialogue maintained with key developers to reassure and keep investment pipeline moving. - Preparatory work done to design economic recovery plan priorities for council. - Enhanced direct and earlier support & intervention has been provided to those facing Homelessness (often linked to the Economic impact) to assist with preventing loss of housing. - Enhanced support to Vulnerable Council tenants to swiftly work with and address personal changing circumstances such as unemployment	4	4	16	Treat	- Overall economic trends beyond council control. Response to COVID 19 crisis heavily dependent on central government actions. - City council economic recovery plan will support the most vulnerable, improving government support schemes eg Kickstarter programme for young people by extending employment contracts, enhancing the work experience offer. A new city centre plan will focus on essential actions to assist recovery and mitigate threat from retail decline etc. New capital investment schemes to drive recovery via Levelling Up Fund including rail station if supported by government. - Maintenance of capital programme, maximising use of purchasing powers to secure local benefits, effective partnership work and creating new 'green job' opportunities will be other key themes.	3	3	9		**Richard Sword / Mike Dalzell**	31/01/22 and On-going

Appendix 2 - LCC Strategic Risk Register

Risk Register Owner: Alison Greenhill, COO | **Date completed: 30/09/21**

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			RESPONSE STRATEGY / ACTION — *Select from the 4T's (see Process worksheet for definitions and further guidance):*	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
			Impact	Probability	Risk			Impact	Probability	Risk			
20. NEW WAYS OF WORKING PROGRAMME The shift to a more agile working approach including increased home and flexible location working adversely impacts on staff wellbeing eg isolation, stress and physical wellbeing, and there is a need to manage by outcomes rather than presentism. May adversely impact on city economic recovery from reduced number of staff working in the city. Programme may not deliver realisable benefits such as savings on building running costs.	- Increase in staff sickness absence including stress and musculo-skeletal - Fail to take into account specific needs and reasonable adjustments for individuals - Reputational impact - Financial impacts - Service delivery may not be met or may be compromised - Failure to take account of impacts on customer service - Staff become demotivated/are under pressure which has an impact on productivity and delivery across the Council - Disruption to service delivery	- Programme Board in place reporting regularly to CMT. - Programme plan in place and on track. -Specific measures being identified to be used to identify impact of future changes. - EIA under development to ensure equalities considerations are fully taken into account. - Significant engagement with staff, employee groups and Trade Unions. - Comprehensive data collection being undertaken to understand work profiles for all roles and workspace requirements. Healthy workplace survey undertaken and results analysed and will inform actions that will support the programme around areas such as staff health and wellbeing - All the key support functions closely engaged in the programme - HR, OD, Health and Safety, Equalities, ICT and Estates and Building Services -Updates reported to Executive and scrutiny via OSC. Phase 1 of the programme will enable the release of 3 buildings via a 30% reduction in space utilisation and realise c£1m savings. Phase 2 of the programme being scoped which will look at further opportunities. -Work ongoing around agile leadership and culture and what it means for LCC and how to embed this in terms of management and leadership behaviours. ICT requirements defined and implementation underway with alternative approach to sourcing hardware being taken in light of the challenges of sourcing via usual suppliers due to global shortages of components.	4	3	12	Treat	- Implement phase 1 around buildings. Continue work on engagement and development activity on agile leadership, culture and behaviours. - Profile benefits including savings and develop programme dashboard. - Define and plan specifically phase 2 of the programme	3	2	6		**Miranda Cannon / Craig Picknell / Carl Skidmore / Matt Wallace**	31/01/22 and On-going
21. ASYLUM & REFUGEES The current events in Afganistan, the increased activity of refugees fleeing their Country and crossing the Channel in to the Country is placing as a welcoming City and a City that is voluntarily part of the NASS dispersal scheme, is creating an increasing concentrated demand upon Leicester City services and resources including the provision of suitable housing to support, schools and other key Council services	- Additonal upward pressure on Housing, sourcing suitable Housing - Risk of inflated housing prices linked to increased demand for housing in Leicester - Additional pressure on school places - Risks to community stability & cohesion - The utilisation of specific areas/Wards in the City (linked to the availability and price of suitable housing) creating localised pressure on services, anti social behaviour and issues	- A Strategic Asylum, Migration and immigration group has been established by the City Council and includes key partners to strategically oversee this area - Cllr Russell already attends and represents the Council on the Regional Asylum meeting - A number of more localised partner and agency meetings have also been set up on conjunction with localised events such as the standing up of hotels for Afgans, those in overflow asylum hotels to manage and oversee the issue - A dedicated Head of Service lead has been appointed in Housing to coordinate the Councils response and action on AMI - The STAR AMAL team have been formally engaged to provide wrap around support to those in the Afgan hotel and faciliate the offer of the 10 families settling in the City - A group has been set up by Cllr Russell and Cllr Myers with VCRS partners to work with them in conjunction to this matter - The City Mayor has met with key Afgan links in the City	3	3	9	Treat	- Active enagement with the Home office & MHCLG in relation to these matters - Continue to respond & challenge proposed new NASS accommodation submissions - Minimise LCC use of saturated/high concentration areas - PRS Strategy agreement and implentation - PRS Licencing agreement, consultation and implementation - Article 4 development through Local Plan - Delivery of the Political commitment on 10 Afgan families (60 people) to settle in Leicester with the STAR AMAL team facilitating and setting up appropriate support	3	2	6		**Chris Burgin / John Leach**	Ongoing 31/01/22