

Appendix 3 - Leicester City Council Operational Risk Register

Risk Register Owner: Alison Greenhill, COO

Risks as at: 31/01/2023																
RISK REF	RISK THEME / CATEGORY <i>Establish which category the risk falls into using PESTLE definition. See Process tab for more information</i>	LINK TO STRATEGIC RISK <i>Which Strategic Risk does the risk link to? Where relevant, refer to the SRR to establish which strategic risk is impacted by risk identified (Below link provides access to current SRR on SharePoint). Log strategic risk ref no.</i>	RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE			RESPONSE STRATEGY / ACTION <i>Select from the 4T's (see Process worksheet for definitions and further guidance): Tolerate, Treat,</i>	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
		https://leicestercitycouncil.sharepoint.com/sites/sec025/SitePages/Risk-management.aspx				Impact	Probability	Risk			Impact	Probability	Risk			
STRATEGIC AREA - City Development and Neighbourhoods																
1	POLITICAL ECONOMIC LEGAL	SRR 1.1 SRR 2.1 SRR 2.2 SRR 2.3 SRR 5.1	Housing - Budget Pressures - Increase in inflationary pressures have led to increasing pressures on the Housing Revenue Account and the Housing General Fund. Cap on 23/24 rent increase now anticipated further limiting options to address the risk	- Budget overspend - Insufficient budget to balance the budget without reducing service offer or capital investment	- In year budget monitoring to oversee the exiting budget pressures	5	4	20	Treat	- Use of reserves in 22/23 to balance the budget - In year District Heating increase of 70% proposed - Identification of savings in Housing Revenue Accounts to streamline service and deliver efficiencies - Housing Revenue Accounts Budget 23/24 being developed to address the budget pressures - FBR savings proposed in Housing General Fund proposals of savings of over £300k - Bidding to secure additional external funding towards existing costs - Ongoing external bidding for funding	4	3	12		Chris Burgin	February 23 Ongoing
2	SOCIO-CULTURAL ECONOMIC LEGAL	SRR 3.2 SRR 3.3 SRR 5.1	Housing - Refugees - Increase in community tensions as a result of the newly arrived Afghan's in Leicester and the impact on homelessness services/ availability of social housing/ Safeguarding concerns in relation to the Homes for Ukraine project Potential for unaccompanied Ukrainian children to arrive in Leicester	- Perception that there will be less housing for other groups in housing need. increase in community tensions and perceptions that refugees are getting more favourable treatment - Increase in safeguarding concerns, physical and emotional impact on refugees	- All housing services to be vigilant and report any serious issues to Prevent or Police as appropriate. Ongoing monitoring of community tensions and myth busting as refugees are accessing a range of housing options including the Private Rented Sector. Strategic co-ordination of information sharing with key partners. AMAL working on the resettlement programme for families to be re-housed in Leicester and will be vigilant on reporting any issues that arise. - Separate risk assessment for the Homes for Ukraine project in place plus joined up Council operations across ASC, PRS, Housing working with Police to undertake relevant safeguarding, property and DBS checks on all parties Inter agency protocol has been developed to support unaccompanied Ukrainian children Ongoing oversight of Asylum in the City with the Asylum Board make up of Senior officers, external partners and politicians	4	4	16	Treat	- Continue to monitor, reporting issues working closely with the Police. Link families up with services and support where necessary - Stay abreast of changing arrangements for the scheme and work to minimise the risks to the local authority linked to such areas as rematching - Input and push for the National Asylum dispersal scheme to share the load across the Country not just in Leicester - Push for the Bridging hotel in Leicester to close and not continue	3	3	9		Chris Burgin	Ongoing, May 2023 review date
3	ENVIRONMENTAL		Neighbourhood and Environmental Services Ash Dieback - Epidemic of Ash Trees 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. - Contingency sum of £100k included in Capital programme.	4	4	16	Treat	- Effective and timely reactive responses - Future development of an Ash Die Back Action Plan, once level of spread of disease more known, and further Capital bid submitted for 2023/24, £250k felling plus £130k platform.	4	4	16	£100k contingency	Sean Atterbury	31.05.2023 Ongoing

Appendix 3 - Leicester City Council Operational Risk Register

Risk Register Owner: Alison Greenhill, COO

Risk Register Owner: Alison Greenhill, COO

Risks as at: 31/01/2023																
RISK REF	RISK THEME / CATEGORY <i>Establish which category the risk falls into using PESTLE definition. See Process tab for more information</i>	LINK TO STRATEGIC RISK <i>Which Strategic Risk does the risk link to? Where relevant, refer to the SRR to establish which strategic risk is impacted by risk identified (Below link provides access to current SRR on SharePoint). Log strategic risk ref no.</i>	RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE			RESPONSE STRATEGY / ACTION <i>Select from the 4T's (see Process worksheet for definitions and further guidance): Tolerate, Treat,</i>	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
		https://leicestercitycouncil.sharepoint.com/sites/sec025/SitePages/Risk-management.aspx				Impact	Probability	Risk			Impact	Probability	Risk			
4	SOCIO-CULTURAL		Neighbourhood and Environmental Services - Decreasing availability of burial space Burial space is limited in supply and may run out if further provision is not provided before existing capacity is reached. rates of death and grave sales have increased above average due to Coronavirus and continued death rate.	<ul style="list-style-type: none">- Significant distress to families requiring a burial if no new burial plots are available. Some faith communities do not permit cremation as an alternative.- Damage to LCC reputation and significant negative press and community tensions arising from failure to meet needs. Reduction in service provision.- Financial losses from lack of new burial space reducing cemetery income (estimated £1m plus per annum),	<ul style="list-style-type: none">- Burial Space Strategy 2014 identified the need for a new cemetery. consultation with planners regarding Local Plan provision in the city and outside the city undertaken.- EBS Capital Projects team commissioned to deliver a new cemetery by 2025/26. One site identified for feasibility to date, potential for others being investigated by EBS. £150k budget for feasibility studies agreed.- Mitigation action to reduce demand for graves without a burial proposed.	4	4	16	Treat	<ul style="list-style-type: none">- Identify alternative site/s for new burial space. Secure capital funding (c£5m) and planning permission for new cemetery construction.- Public consultation on future needs.	4	3	12	£150k + £5m	Sean Atterbury	31.05.2023 Ongoing 'Planning permission, Dec 2023
5	ECONOMIC	SRR 2.2	Neighbourhood and Environmental Services - Lack of Adequate Resource Capacity Increase in the demand led services, along with the reduction in head count could mean that there are insufficient resources to deliver the required service levels. During times of change, staff are not always aware of the changes being made, resulting in confusion etc.	<ul style="list-style-type: none">- Teams already at a minimum and extra workloads are unsustainable.- As demand-led services increase, workload and public expectations increase.- Likelihood of key person dependency as teams reduce further (fewer people in key roles).- Potential risk of non-compliance or breaches/lack of a substantial control environment.- Service delivery requirements not met.- Staff wellbeing may be harmed.- Reputational damage may result from unplanned building closures due to staff shortages.	<ul style="list-style-type: none">- Existing prioritisation arrangements are in place.- Policies and procedures are in place.- Processes are in place.- Regular briefings and PDRs- Organisational review consultation process.- Managing expectations with senior officers / stakeholders- Accessing external grants- Creation of temporary project roles	4	4	16	Treat	<ul style="list-style-type: none">- Building adequate criteria and expectations into Service Reviews.- Creating temporary project roles where relevant.- Income generation to fund service specific posts / resources.- Better use of existing internal & external resources (partnerships) - understanding impact of Covid and the increased demand on during recovery.- Waste Management structure is under review.- Create staff development opportunities linked to progression (NS).	3	3	9		Sean Atterbury	31.05.2023 Ongoing
6			Neighbourhood and Environmental Services - Beaumont Park Depot Condition of depot creating risks to service delivery, individuals working on site and visitors, situation identified in H&S report in 2011. Previously requested in 2014 to be accommodated in Capital Programme. Strategic Director with Head of Finance moved to be dealt with as part of Depot Review passed for action to Director of EBS following site visit in Nov 2017. Options drawn up Feb 2018 but later abandoned. NES awaiting confirmed direction re resolution.	<ul style="list-style-type: none">- Serious accident injury and or death to staff/member of public.- Reputational damage to LCC.- Insurance claims against the Council.- Legal challenge.- Media exposure.- Adverse effect on budget/finances.- Closure of premises, loss of service.- Breaches in legislation and/or non-compliance.- Demand led services may not be met.- Significant delay to decide and implement a solution could weigh heavily in any proceedings that would follow a serious incident.	<ul style="list-style-type: none">- On going review of depot in-house Business Change Manager facilitating with E&B. Undertaking options appraisal with input from Legal, Planning and Highways.- Building conditional surveys reviewed under the TNS Programme.- Agreed to manage outside of Depot review with separate budget allocation.- NES/P&OS have ensured operational mitigating action in place. Dedicated Banksman employed to manage traffic movement on site.- All staff trained in banksman duty of care.- H&S team undertaken review of short term safety measures for pedestrians and vehicles on site.- £125k approved from Insurance fund to install one way system, plus £10k EBS. 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 supported NES urgent request for appropriate action. NES project halted by Richard Sword at 11th December 2020 meeting with EBS and Planning/Regeneration Colleagues in favour of an alternative option.	5	3	15	Treat	<ul style="list-style-type: none">- Suitable adaptation of existing to accommodate operational practices and introduction of one way traffic system.- Capital project established and full Planning Application submitted 9 October 2019 with provisional start date 4 February 2020- 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.- 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 pending review of alternative use of space.- Agreement to relocate items of stock and specialist equipment along with the bio-fuel stock pile to the IMC, pending project implementation of the Depot Transformation Board and the development to 90 LR. This is now on hold pending decision on Levelling Up Fund for IMC, Looking at opportunities to utilise - the former Western Golf car park and develop the Bennion Road compound, being considered as part of the Depot Board. Long term part of Depot Review to close depot and transfer functions to 90 LR.N.B SA - Evidence suggests the likelihood of incident based upon the additional controls is decreasing hence the adjustment to the scoring.	5	2	10	£135k	Sean Atterbury/ Matthew Wallace	01.04.23 Ongoing

Appendix 3 - Leicester City Council Operational Risk Register

Risk Register Owner: Alison Greenhill, COO						Risks as at: 31/01/2023										
RISK REF	RISK THEME / CATEGORY <i>Establish which category the risk falls into using PESTLE definition. See Process tab for more information</i>	LINK TO STRATEGIC RISK <i>Which Strategic Risk does the risk link to? Where relevant, refer to the SRR to establish which strategic risk is impacted by risk identified (Below link provides access to current SRR on SharePoint). Log strategic risk ref no.</i>	RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE			RESPONSE STRATEGY / ACTION <i>Select from the 4T's (see Process worksheet for definitions and further guidance): Tolerate, Treat,</i>	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
		https://leicestercitycouncil.sharepoint.com/sites/sec025/SitePages/Risk-management.aspx				Impact	Probability	Risk			Impact	Probability	Risk			
7			Planning, Development and Transport - Failure or delayed delivery of development outcomes , including infrastructure - Ashton Green; new homes, employment land, community social infrastructure, open space, new jobs & skills training etc.	- Delayed or reduced capital receipt for the Council, delayed housing delivery no's inc. affordable, impact on jobs & training. Impact on Local Plan housing no's. Homes England Clawback of HIF Funding	- Revised Project governance structure, programme board now includes all LP strategic sites, a project specific risk log, development manager lead, project director oversight, regular City Mayor reporting. - External high level review undertake, this has identified priorities and resource requirements. - Recent focus on potential to assist delivery of affordable homes to meet the CM Manifesto commitments. - Change in key personnel within Dev team has resulted in net loss of staff on AG delivery (and wider team). Recruitment has failed twice for senior post replacements and to growth post identified in the delivery review. Interim measures being put in place with consultant support 2 days a week but not a sustainable model for long term delivery, significant officer time spent clienting these resources due to scale of project. Mid level resource lost, recruitment failed once, advert back out. Bidding for capacity funding from HE however note resources at this level with experience are in demand across the discipline nationally. - Availability rather than funding is the limiting factor. - Affordable Housing conversations internally delaying release of next 2 phases of land to market due to undetermined AH% requirement above planning. - Requirement and specification must form part of the procurement from the outset.	4	4	16	Treat	- Need to ensure that adequate external consultancy support is available to deliver the project work streams. - Ongoing review of planning conditions requirements, submission of section 73 applications to unlock development parcels. - Secured external funding to accelerate delivery of infrastructure. In order to make a step change and accelerate delivery need to look at bringing in additional resource either through consultancy or additional post. - Need to ensure focus on delivering additional affordable homes does not impact of delivery programme.	3	4	12		Andrew L Smit	31.05.2023 Ongoing
8			Planning, Development and Transport - Availability of supply chain - contractors , construction difficult to get in place and issues on materials being available since covid-19 Ongoing material shortages and costs are still being felt as a result of economic turmoil and increasing energy prices. This is being felt, nationally, across the construction industry	- Delay to projects and programmes; cost increases; funding slippage; potentially politically sensitive on high profile projects	- Increasing contingency for new projects; working closely with suppliers to identify risks early and mitigate where possible.	4	4	16	Treat	- Options are being considered to further mitigate risk: in accordance with elected member wishes quality of work is being maintained; against a backdrop of increasing costs, risks are being managed at previous levels through increased ECI to better inform initial designs & by deferring / delaying projects & programmes where necessary.	3	4	12		Andrew L Smit	31.05.2023 Ongoing
9	LEGAL		Planning, Transport and Development - Duty to Protect - ensuring counter terrorism measures are incorporated into the built environment where required in order to meet our new statutory duties under the Duty to Protect legislation, e.g. new public realm schemes incorporating hostile vehicle mitigation measures. Need to ensure requirement for CT measures is considered and record all decisions.	Council could be deemed at fault if a terrorist incident occurred that could have been prevented by appropriate CT measures/features in the built environment and day to day highway network management activities.	1. Maintain regular catch up meetings with CT Police Team. 2. Establish single point of contact for schemes with CT implications within the public realm. 3. Consider inclusion of reference to CT measures in the revised Street Design Guide. 4. Project records to include reference to compliance / agreement of alternatives / non agreement and associated rationale with CT police requirements. 5. Include reference in PDT Divisional register of CT risk and measures in place to mitigate. 6. Consider similar in EBS risk register.	5	3	15	Treat	1. Maintain regular catch up meetings with CT Police Team. 2. Establish single point of contact for schemes with CT implications within the public realm. 3. Consider inclusion of reference to CT measures in the revised Street Design Guide. 4. Project records to include reference to compliance / agreement of alternatives / non agreement and associated rationale with CT police requirements. 5. Include reference in PDT Divisional register of CT risk and measures in place to mitigate. 6. Consider similar in EBS risk register.	5	2	10		Andrew L Smit	31.05.2023 Ongoing
STRATEGIC AREA - Corporate Resources &Support																
10	TECHNOLOGICAL	SRR 4.1	Delivery, Communications and Political Governance - Cyber Security Increasing profile and expertise to circumvent established defences increase vulnerability of LCC data.	- Data hacked and released into public domain; - Reputational damage - seek alternative more expensive solutions; - Fines from ICO; - Staff stress increases; - Damage to identified individuals; - Denial of service / major service disruption	- 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 - Implemented solutions to respond to the new threat from Ransomware which could attack / compromise backup data - Implemented new End Point security - Implemented 3rd party Security Operations Centre service providing 24x7 cyber security monitoring.	4	5	20	Treat	- Assess and implement new Technology solutions as appropriate to address any changing/new threats - Continued Staff awareness training etc.. - Maintain Cyber Essentials Compliance - Undertake benchmark comparison against other LGAs - Complete CMMI Maturity Assessment of Cyber Security, undertake gap analysis and develop a remediation plan.	4	4	16			

Appendix 3 - Leicester City Council Operational Risk Register

Risk Register Owner: Alison Greenhill, COO

Risk Register Owner: Alison Greenhill, COO						Risks as at: 31/01/2023										
RISK REF	RISK THEME / CATEGORY <i>Establish which category the risk falls into using PESTLE definition. See Process tab for more information</i>	LINK TO STRATEGIC RISK <i>Which Strategic Risk does the risk link to? Where relevant, refer to the SRR to establish which strategic risk is impacted by risk identified (Below link provides access to current SRR on SharePoint). Log strategic risk ref no.</i>	RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE			RESPONSE STRATEGY / ACTION <i>Select from the 4T's (see Process worksheet for definitions and further guidance): Tolerate, Treat,</i>	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
		https://leicestercitycouncil.sharepoint.com/sites/sec025/SitePages/Risk-management.aspx				Impact	Probability	Risk			Impact	Probability	Risk			
11	ECONOMIC	SRR 2.2	Delivery, Communications and Political Governance - Shortages in terms of staff capacity/key skills Skill shortages - Difficulties recruiting to specific posts and high demand for specific expertise such as business analysis and business change, and specific technical skills such as ICT development posts in a competitive marketplace for such skills. Key person dependency - Continuing reductions in staff may lead to increasing reliance on fewer people, some of whom may not have critical knowledge/skills, creating additional pressures at times e.g. unplanned absence; inability to transfer knowledge and skills before key staff leave. Increase in demand arising from level of organisational change and need to deliver efficiencies/savings - There maybe an increased demand for support of which available expertise is limited or competing requirements/expectations. Therefore, support services such as HR and Comms may not be able to meet expectations or deliver to the right level of quality	<ul style="list-style-type: none">- Increase in key person dependency and increased dependency on line managers to deliver a number of technical capabilities.- Lean staffing structures put pressure on staff.- Existing staff health and wellbeing may deteriorate, including morale.- Service demand cannot be met.- Members demand/expectations cannot be met.- Tasks are not completed/delivered and/or critical projects may be halted.- Statutory/regulatory requirements may not be adhered to and deadlines breached.- Reputational damage.- Adverse effect on finances.- Specialist expertise and knowledge is not available to deliver the required duties.- Corporate memory diminishes when staff leave the Council.- Highly skilled technical roles cannot easily be filled- Perception of blame culture leads to senior and/or skilled staff leaving- Inadequate/inappropriate decisions are made by management, resulting on increased involvement by HR and/or other services in a reactive capacity.- Changes may not be made quickly and effectively and/or changes may be made prior to all parties consent.	<ul style="list-style-type: none">- Continued use of graduate and other entry level roles to bring in additional capacity and support 'grow our own' as well as maximising use of apprenticeship funding - this includes entry level roles in HR, DDaT, Democratic Services, EA Team . Work done to identify and RAG rate the most critical posts - Use of creative approaches to address gaps e.g. training new swim teachers, maintaining a reasonable pool of casual staff where needed. Use of secondment opportunities for staff to gain new skills and experiences across other areas and to build resilience	4	5	20	Treat	<ul style="list-style-type: none">- Continue with approach to supporting graduate/entry level roles where appropriate in support of a 'grow our own' approach.- Develop a divisional action plan to address the key risks in terms of critical posts and succession planning- Use of DMU internships and other placement opportunities to add short-term capacity and to link with grow our own approach	3	4	12		Miranda Cannon	31.05.2023 Ongoing
12	TECHNOLOGICAL	SRR 4.1	Delivery, Communications and Political Governance - On-Going Global supply Chain issues Global shortage of semiconductor components impacting technology supply chain.	<ul style="list-style-type: none">- Unable to support agile Ways of Working- Unable to provide devices in response to breakages and new demand	<ul style="list-style-type: none">- Constrain supply by utilising desktops and office space- Look for low-spec, refurbished devices to use with VDI- Utilisation of manufacturer of remanufactured devices	4	4	16	Treat	<ul style="list-style-type: none">- Regular review standard hardware list and consider alternative suppliers and devices	3	4	12		Miranda Canon	31.01.2023 Ongoing
13	ECONOMIC	SRR 2.3	Delivery, Communications and Political Governance - Loss of income opportunities Commercial arrangements such as trading with schools are lost due to heightened market competition and due to a lack of staff resources and expertise to undertake marketing and business development. The withdrawal of specific LCC traded services could create angst amongst 'customer base' and reduce appeal of other services. Cost of living impacts on household incomes impact on services such as Sports where people have less disposable income to spend. Inflation including rising fuel, food and supply costs mean prices for traded services need to rise but then cause a drop in demand	<ul style="list-style-type: none">- Reduced income opportunities against increasing budget pressures.- Loss of available budget reallocations from the centre e.g. HRA.- Reputational damage.- Adverse effect on finances.- Loss of morale.- Requirement to reduce headcount if service discontinues.- Income levels and budgets are significantly impacted.-Loss of business means reductions in staff are necessary.	<ul style="list-style-type: none">- Sports Transformation Board established and has now met twice and is focused on the next strategic phase for the Sports service and how to further maximise the offer and benefits of capital investment. Fundamental review of trading with schools has been undertaken and a report and recommendations taken to CMB in November followed by specific report on City Catering with proposals around future trading and pricing strategies. Way forward agreed on City Catering and service will move to report into HR alongside other significant traded services and further work will commence on cost reductions and pricing strategies. Proposals developed in relation to other traded services and due to be discussed with the focus on rationalising and consolidating activity to only those strategically important services which can deliver a financial return that covers costs. Work continues in terms of business development activity in relation to traded services	4	4	16	Treat	<ul style="list-style-type: none">- Continue to review the position regularly including gathering customer and non-customer feedback and acting upon it- Ensure that relevant functions continue to focus sufficiently on income opportunities and business development.-Implement agreed recommendations following CMB. Proceed with Sports next phase strategic review and opportunities for maximising income arising from this. Implement initial price rises for City Catering and commence work to further review costs and future pricing. Complete work on agreements with schools for HR & H&S traded services for the next financial year.	3	4	12		Miranda Cannon	Divisional plan by 31/03/23
14	ECONOMIC	SRR 2.3	Delivery, Communications and Political Governance - Ongoing budget pressures and savings impacting on service delivery Division unable to meet future level of savings required and/or the level of future savings required leads to unsustainable services/loss of services and support to the organisation impacting on the ability of the Council to operate effectively, lawfully and deliver particularly on its statutory obligations.-Wider medium to longer-term financial position of the Council and local government more generally will add increased pressure on the need to make substantial savings and therefore consequent impacts of this along with the impacts of the wider cost of living crisis and rising inflation including increased energy costs	<ul style="list-style-type: none">- Unable to generate additional income, e.g. via trading with schools to help sustain budgets. Potential for a significant budget income gap.- Savings are not delivered, division overspends and puts pressure on corporate budgets- Statutory requirements are not met resulting in risks to service users and legal/reputational issues- Impact on the quality and levels of services being provided.- Impact on staff health and wellbeing- Vacant posts are not appointed, increasing pressure on the existing workforce.	<ul style="list-style-type: none">- Divisional out-turn in 2021/22 was an underspend but pressures arising for 2022/23 in terms of cost of living particularly in relation to Sports and City Catering from rising food, fuel and supply costs. Mitigations such as reviewing school meal pricing being taken forward. Ongoing work between Sports and EBS on sustainable solutions such as PV panels. Savings for the division identified including removal of a number of vacancies, some specific staffing reductions and reductions in non-staffing budgets. Some reductions already actioned in P6 revenue monitoring and further reductions to be actioned in P9 and out-turn decisions. Work ongoing in other areas and being closely monitored.	4	4	16	Treat	<ul style="list-style-type: none">- Continue dialogue in 121s around further opportunities, options, risks and issues and to support delivery of identified savings.- Close monitoring and reporting on agreed savings feeding into corporate governance arrangements for this. Management of income risks - see risk 2 above. Sports Transformation Board to focus on priority of achieving a net zero subsidy for Sports. Further work to be undertaken on potential efficiencies relating to City Catering to ensure no subsidy from LCC is needed for the service.	3	4	12		Miranda Cannon	Ensure agreements for new financial year in place 28/02/2023

Appendix 3 - Leicester City Council Operational Risk Register

Risk Register Owner: Alison Greenhill, COO						Risks as at: 31/01/2023										
RISK REF	RISK THEME / CATEGORY <i>Establish which category the risk falls into using PESTLE definition. See Process tab for more information</i>	LINK TO STRATEGIC RISK <i>Which Strategic Risk does the risk link to? Where relevant, refer to the SRR to establish which strategic risk is impacted by risk identified (Below link provides access to current SRR on SharePoint). Log strategic risk ref no.</i>	RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE			RESPONSE STRATEGY / ACTION <i>Select from the 4T's (see Process worksheet for definitions and further guidance): Tolerate, Treat,</i>	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
		https://leicestercitycouncil.sharepoint.com/sites/sec025/SitePages/Risk-management.aspx				Impact	Probability	Risk			Impact	Probability	Risk			
15	LEGAL	SRR 5.1	Delivery, Communications and Political Governance - Electoral Reforms Arising from Elections Act 2022 - Late release of the detailed guidance and national system at the same time local resources are focused on planning for May 2023 elections risks the smooth introduction of Voter ID and could disenfranchise electors and their confidence in the electoral system. Lack of national new burdens funding to reflect the expectations of the reforms also risks successful delivery.	- Unable to deliver against legislative requirements brings litigation and reputational challenges. - Impacts on the smooth running of elections and electoral registration. - Impacts on budgets and resources. Any elections taking place might be undermined. - The democratic legitimacy of the Council might be undermined hindering its ability to fulfil its role as a partner, enabler and leader - The Returning Officer may struggle to deliver the elections they have personal responsibility for. - The risk of challenge by petition after the election will be higher.	- Engaged with AEA, Electoral Commission and Cabinet Office to understand and to seek to influence the detailed requirements and to share experience and provide feedback. - The Electoral Services Manager is part of the Business Change Network facilitated by the Cabinet Office and consequently is very well informed. - New burdens funding via a grant has been provided for 2022/23 and an indicative amount for 2023/23 has been communicated to help support implementation. - Building requirements into May 2023 election planning. Keeping team resources and structures under review and have increased establishment temporarily to support May 2023 election planning incorporating reforms. - A One Council approach is being taken in order that the wider Council can provide necessary support. - A national communications campaign on voter ID is underway led by the Electoral Commission and local communications are supplementing this. - A briefing for councillors has been arranged also on Voter ID.	4	4	16	Treat	- Continue with local communications and briefings. - Oversight via regular election planning meetings. - Monitor spend on reforms on Voter ID and accessibility and submit a further bid for funding when invited if spend has exceeded the provided grant. Review initial learning as part of post May 2023 elections debrief. - Further review team resources and structures after the May elections and alongside further reforms which are due to be implemented later in the year to determine ongoing implications of changes in terms of budgets and staffing	4	3	12		Miranda Cannon	31.05.2023
16	LEGAL	SRR 5.1	Delivery, Communications and Political Governance - Impacts Arising from Future Legislation 'Martyn's Law' - Council is unprepared to respond to the potential requirements of forthcoming legislation related to counter-terrorism and therefore fails in the duty to protect people	- LCC fails to respond effectively to a terrorist attack and places staff and public lives in danger - LCC services which fall under the scope of the requirements are unprepared and could be subject to enforcement - Additional cost implications and pressure on budgets - Reputational impacts	- Internal working group in place and has been meeting facilitated by the REBR Team Manager. - A number of services have already embedded a range of actions including Planning in relation to relevant major development schemes and DMH in terms of staff preparedness and risk assessments. - Ongoing monitoring of draft legislation as details are published and REBR Manager attending national network to keep updated. - Ongoing communication of details as they emerge. Close working with counter-terrorism Police including training planned for staff and a range of frontline services, and ongoing liaison and support in relation to city events	5	3	15	Treat	- Prepare an update report on preparations for CMB. - Wider awareness raising including via Directors/HoS of potential requirements. - Ongoing support and work with the internal working group and ensuring membership reflects all relevant services	5	2	10		Miranda Cannon	30.04.2023

Appendix 3 - Leicester City Council Operational Risk Register

Risk Register Owner: Alison Greenhill, COO						Risks as at: 31/01/2023										
RISK REF	RISK THEME / CATEGORY <i>Establish which category the risk falls into using PESTLE definition. See Process tab for more information</i>	LINK TO STRATEGIC RISK <i>Which Strategic Risk does the risk link to? Where relevant, refer to the SRR to establish which strategic risk is impacted by risk identified (Below link provides access to current SRR on SharePoint). Log strategic risk ref no.</i>	RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE			RESPONSE STRATEGY / ACTION <i>Select from the 4T's (see Process worksheet for definitions and further guidance): Tolerate, Treat,</i>	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
						Impact	Probability	Risk			Impact	Probability	Risk			
17	POLITICAL	SRR 1.2	Legal - Workloads & Pressure - Client Care 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">- Timely legal advice from clients not sought.- Failure to comply with laid down guidelines.- Breach of regulations or law e.g. data protection.- Council found to act unlawfully.- Challenges to procurement processes.- Cost implications from requirements not being followed/deadlines being missed/ not delivering value for money for Council.- Award made against council etc.- Staff demotivated- Negative Press/Reputation of Council	<ul style="list-style-type: none">- Reviewing practices to be improve flexibility of approach.- Channel Shift.- Raising awareness - corporate messages.- Early engagement - feeding into deadlines.- Attending project boards.- Projects to look at new ways of working.- Improved use of technology e.g. Electronic Signatures/Virtual Hearings.	4	4	16	Treat	<ul style="list-style-type: none">- Review of practices.- Increase comms program/training and awareness of current practices (deadlines with project plan).	4	3	12		Miranda Cannon	Directors and HoFS session - 08/03/23. Report to CMB 09/03/23. Ongoing work with internal working group
STRATEGIC AREA - Social Care and Education																
18	ECONOMIC	SRR 2.1	Adult, Social Care and Commissioning - Partnerships - sustainability Cost of living and cost of fuel prices, occupancy levels in Care Homes, workforce shortages, ending of Covid financial support all impacting on market sustainability Nursing Homes giving notice in already depleted market Provider failure due to poor quality - decrease in ratings by CQC	<ul style="list-style-type: none">- Requirement for LCC to step in and cover service provision at additional cost;- procurement / commissioning programme to seek alternative provider solution;- increasing demands on service;- reputational risk to LCC, - service user without access to provision.- lack of supply, people have to move provision / disruption on people, impact on workforce	<ul style="list-style-type: none">- Market position statement- market failure policy- fees set based on true costs of care - extensive consultations - BCP for all providers- Multiple suppliers - spreads contingency- Hardship fund- Strategic system planning / Market sustainability plan / Fair cost of Care / Fees review- Quality assurance regime for contracted providers	4	4	16	Tolerate	Regular monitoring and oversight of the market. Fair Cost of Care Exercise and Market Sustainability plan, as required by the Social Care Reforms. Working with system partners across County and Health to focus on key risk to nursing home provisions; Strategic plan for quality management	4	3	12		Kate Galoppi	31.05.2023 Ongoing
19	ECONOMIC	SRR 2.2	Adult, Social Care and Commissioning -Staffing - A number of service areas subject to change with consultations happening at service level and staff level	Staff wellbeing, could affect absence levels and service provision / continuity	Regular briefings / communication to staff and unions	4	4	16	Treat	Working with Head of Service. Responding to staff concerns promptly.	4	3	12		Kate Galoppi	31.05.2023 Ongoing
20	ECONOMIC	SRR.2.1	Children's Social Care and Community Safety - Workforce - availability Diminishing availability of experienced skilled social workers	<ul style="list-style-type: none">- National shortage of qualified SW's impacting on local recruitment Increased reliance on agency staff to full vacancies Increased SW case loads- Increased budget pressures;- Lack of continuity of staff in roles	<ul style="list-style-type: none">- Developing a workforce recruitment and retention strategy	5	4	20	Treat	<ul style="list-style-type: none">- ASYE Programme Apprenticeship Programme- Grow our own Programme	5	4	20		Caroline Tote	31.05.2023 Ongoing
21	ECONOMIC	SRR.2.1	Children's Social Care and Community Safety - Budget Loss and / or reduction of services to achieve budget savings	<ul style="list-style-type: none">- 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	<ul style="list-style-type: none">- Strategic Oversight and clear governance arrangements in place;- SCE Programme Board oversees all budget reduction projects.	5	3	15	Treat	<ul style="list-style-type: none">- Star Chamber oversight regarding saving reductions and undeliverable savings.	5	3	15		Caroline Tote	31.05.2023 Ongoing

Appendix 3 - Leicester City Council Operational Risk Register

Risk Register Owner: Alison Greenhill, COO						Risks as at: 31/01/2023										
RISK REF	RISK THEME / CATEGORY <i>Establish which category the risk falls into using PESTLE definition. See Process tab for more information</i>	LINK TO STRATEGIC RISK <i>Which Strategic Risk does the risk link to? Where relevant, refer to the SRR to establish which strategic risk is impacted by risk identified (Below link provides access to current SRR on SharePoint). Log strategic risk ref no.</i>	RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE			RESPONSE STRATEGY / ACTION <i>Select from the 4T's (see Process worksheet for definitions and further guidance): Tolerate, Treat,</i>	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
		https://leicestercitycouncil.sharepoint.com/sites/sec025/SitePages/Risk-management.aspx				Impact	Probability	Risk			Impact	Probability	Risk			
22	SOCIO-CULTURAL	SRR 3.1	Education - Failure to identify and address cases of children missing from education in a timely manner. This could include children who have left school rolls who have not arrived at their destination school or where they have become electively home educated but where this is not suitable. Also, children whose cases are awaiting investigation due to the volume of cases where parents do not register their child at an allocated school and where school admissions refer to EWS. This has an increased likelihood as a result of Covid pandemic.	<ul style="list-style-type: none">- Children who are not attending full-time miss out on significant parts of their education.- Children can be "lost" if they are unknown.- ILACS inspection would identify this as a weakness- We do not know where the children are and no-one is following up on their cases.- Harm could come to a child and this would not reflect positively on the LA even if we wouldn't have been in a position to safeguard the child i.e. home educated.	<ul style="list-style-type: none">- We have established a clear protocol for removing from roll which has reduced coerced home education and inappropriate removal from roll.- Education welfare team follow up identified children but this identification can take time. And these families are then tracked if they have moved. Those that are EHE are referred to the Home Education Adviser and due to limited capacity are prioritised for contact.- Families will not be visited to check the suitability of education and the adviser will rely on submitted evidence.- Cases are levelled for risk and prioritised.- New E system has been implemented which has streamlined part of the process where parents are willing to use it.- Volume of cases continues to be a significant challenge and there is a large and growing backlog of cases due to a lack of capacity.	4	4	16	Treat	Increase capacity within the home education adviser team either from within EWS, or sourcing external support. Properly resource the EWS team to enable the volume of children missing from education cases to be investigated and concerns addressed. (Further work is under consideration to reduce numbers of children being withdrawn from schools for the reason of EHE where parents are willing to reconsider.).	3	2	6		Sue Welford	31.05.2023 Ongoing
23	SOCIO-CULTURAL	SRR 3.2	Education - Pupil Attendance DfE are increasing the statutory responsibilities relating to pupil attendance. Much of this work is currently provided on a traded basis and there is no identified source of funding that could be accessed to negate the impact of ending trading.	<ul style="list-style-type: none">- Over £500k of income would be lost with no source of funding to fund the statutory work of the service.	<ul style="list-style-type: none">- The risk has been escalated to Senior Managers. The Service is identifying the specific actions that become statutory.	3	5	15	Treat	<ul style="list-style-type: none">- Challenge the DfE to clarify the statutory elements of guidance and no additional burdens decision through collective lobbying with ADCS.- Highlight the need for a growth budget, subject to clarification from DfE.- DfE have confirmed intention is to proceed with plans to increase LA statutory responsibilities - earliest date is Sept 23.	2	2	4	£500k	Sue Welford	Winter 2022 / Summer 23
STRATEGIC AREA - Public Health																
24	POLITICAL ECONOMIC SOCIO-CULTURAL	SRR 2.1 SRR 2.3 SRR 3.2	Wider Economy & Supply chain Brexit / Covid related pressures increases prices or reduces availability of IT stock / services / logistics / medicines etc within the supply chain. Increased costs result in contracted services becoming economically unviable for providers. This is already beginning to present within Sexual Health and Drugs & Alcohol portfolios. Cost of living crisis exacerbates existing inequalities and food / fuel poverty for the poorest and most vulnerable in the city.	<ul style="list-style-type: none">- Changes in financial call / contracts due to fluctuations in drug / treatment market prices making delivery otherwise unviable- Logistical and financial difficulties to delivery for services or programmes.- Prioritisation / decommissioning / reduction of existing service delivery model(s)- Call on public health reserves- Staff are unable to be supplied with appropriate IT equipment leading to reduced efficacy and wasted capacity- Suppliers are unable to deliver minimum viable output as per contracts, and either underperform or serve notice on contracts.- Financial impact to maintain existing contracts or retender at short notice- Increased capacity pressure impacts on staff and wider portfolios- Economic crisis within the city as households cannot meet rising costs leading to increased levels of food and fuel poverty.- Increase in health issues caused by poor nutrition or cold / damp environments and sustained stress and pressure.	<ul style="list-style-type: none">- Internal governance, decision making processes, and budgetary oversight leveraging expertise within team to assess choices and inform management briefings / options appraisal- Strong engagement with national partners to aid horizon scanning and early signposting of potential issues- Good relationships with peers in other organisations are maintained as a matter of course to aid communication and working efficiencies- Contract management team maintain strong relationship with services and stress importance of BCP's to ensure fallbacks and contingencies where possible- Fuel poverty programme launched to raise awareness and signpost support pathways to the most vulnerable. Project manager post recruited to and tender exercise completed for a provider to deliver the service with us.	5	4	20	Treat / Tolerate	<ul style="list-style-type: none">- Continue with existing controls and close monitoring of national landscape- Maintain oversight of staffing levels and associated IT requirements and open communication with IT services to inform appropriate actions- Reserve could potentially be used to mitigate short term supply shock.- Alternate IT routes being explored for new starters / initiatives (IGEL / mobile working)- Analysis of need and potential response actions to potential poverty crisis ongoing	4	4	16		Ivan Browne	Review by 30/05/2023

Appendix 3 - Leicester City Council Operational Risk Register						Risks as at: 31/01/2023											
RISK REF	RISK THEME / CATEGORY Establish which category the risk falls into using PESTLE definition. See Process tab for more information	LINK TO STRATEGIC RISK Which Strategic Risk does the risk link to? Where relevant, refer to the SRR to establish which strategic risk is impacted by risk identified (Below link provides access to current SRR on SharePoint). Log strategic risk ref no.	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): Tolerate, Treat,	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE	
		https://leicestercitycouncil.sharepoint.com/sites/sec025/SitePages/Risk-management.aspx				Impact	Probability	Risk			Impact	Probability	Risk				
25	ECONOMIC	SRR 2.1 SRR 2.2	Budget Changes to service delivery to comply with allocated budget and increased savings targets. Continued reductions could force termination of services to ensure priority services remain available. If the authorities financial position continues to degrade then focus and capacity may be withdrawn from any non-statutory services across the authority in order to identify cost savings. Increasing financial pressures across the authority contribute to the likelihood that increased level of reserves and funding are taken away from public health budget to support general council budget pressures following covid and ongoing austerity. Public health reserves have been reduced in the past year to assist in our covid response, and no funds have been able to be directed to reserves for the last financial year. Reduction in reserve levels creates uncertainty in our ability to respond flexibly to unpredictable emerging needs and ensure stability and sustainability of programmes. This may be exacerbated by the pandemic in the medium / long term when secondary impacts emerge widening public health response needs. Uncertainty over non-recurrent or unconfirmed recurrent funding leads to reduced delivery and higher probability of project failure. Long term sustainability of initiatives is brought into question meaning economies of scale or efficiencies derived from long term planning cannot be capitalised on. Income generation has been impacted by the pandemic and remains in recovery, and the cost of living crisis is reducing the take-up and renewal of paid memberships. For the Live Well portfolio this is hindering the ability to hit targets and increasing budgetary pressures. While the funding gap is currently being met by reserves this is a finite resource and the above financial pressures can be expected to increase wider demand on this resource and on the amount able to reserved each year. Increased demand for public health services in response to covid (possibly sustained by emerging variants of concern), coupled with potential increases in non-covid related health areas resulting from the pandemic, and an emerging cost of living / fuel poverty crisis create resource / capacity strain that cannot be mitigated due to a lack of available budget for extra posts.	<ul style="list-style-type: none">- Public health non-statutory programmes are reduced in size or allocated resource, or closed down altogether creating long term impacts and poorer health outcomes for citizens.- Levels of public health grant diverted to other council areas may draw attention and scrutiny from government and result in review on grant usage if services begin to struggle to maintain adequate delivery.- Service areas with public health impacts (Housing / Transport / Sports etc) experience cuts to budgets and programmes leading to knock on health impacts across the population that then require additional resource to manage and tackle.- Reduced ability to deal with emerging public health emergencies- Decreased / ceased service / user contact and / or service effectiveness- Reputational damage and reduced public trust / respect- Risk of missing safeguarding issues impacting on council statutory duties resulting in<ul style="list-style-type: none">- Serious injury or loss of life- Legal challenge- Severe reputational damage- Judicial review & central government intervention- Within Live Well, inability to recover income and membership levels due to significant level of customers transferring to local competition due to convenience and competitive private sector- Viability of Live Well at risk.- Increased demand on other public services (primary / secondary health care / Social Care / Leisure Centres) leading to knock on stress to other council services and	<ul style="list-style-type: none">- Public health Return to Central Government (Return On Investment (ROI))- Portfolio restructure and continual review of landscape to ensure we are positioned to meet upcoming needs- Employing new commissioning, monitoring, and delivery model for key services to streamline and identify adverse effects- Bids for funding being written and submitted across the team as opportunities arise.- Internal governance to closely manage budgets and ensure intelligent and planned use of reserves over time to ensure maximum efficacy and sustainability- Political oversight / scrutiny- Identifying and articulating associated risks through spending review process,- Clinical Governance Process in place tor review of providers, performance, and to sense check direction of travel to ensure optimum delivery quality and value for money- Customer retention plans and actions put in place to reduce subscription cancellations from customers unable to use services which would impact income generation- Strong service / programme planning to cover possible funding scenarios, allowing for adaptations to be made at pace.	4	5	20	Treat / Tolerate	<ul style="list-style-type: none">- Continue with existing controls- Secure additional revenue e.g. income generation through commercial opportunities.- Continue to explore a variety of potential local and national funding opportunities including commercial, government, academic, grant funding,- Investigate creation of a resource to help officers bid for funding with more guidance to increase consistency and success rate- Utilise in kind support / asset sharing where possible- Cross organisational opportunity review of priorities and resources ongoing through partnership programmes and system level board pathways. public health Consultant employed to stimulate engagement throughout and across the system.- Explore use of LCC volunteer pool to engage in public health initiatives- Business case to outline justification and need for ringfencing reserves to mitigate / respond to any further public health emergencies, and to deal with longer term impacts of covid as they arise.	3	5	15		Ivan Browne	Review by 30/05/2023	
26	ECONOMIC SOCIO-CULTURAL	SRR 2.2 SRR 3.2 SRR 3.3	Staffing and Recruitment - External A national skill shortage and recruitment crisis in conjunction with Leicester being a challenging area in comparison to neighbouring areas creates difficulties in securing appropriately trained professionals within commissioned services and / or partner organisations - in particular Public Health Nurses and Health Visitors. Disruption to workforce of NHS or other partners due to strikes or industrial action. Wide simultaneous losses due to sickness within commissioned services reduce capacity to the extent that statutory functions are not adequately maintained.	<ul style="list-style-type: none">- Impact on front line service delivery of statutory functions- Knock-on impact on capacity and ability to deliver of non-participating staff impacted by strike action- Negative impact on service users- The ability of our commissioned services to provide adequate safeguarding is reduced, leading to an increased risk of support needs not being identified or met.- Serious incidents could be missed leading to:<ul style="list-style-type: none">- Serious injury or loss of life- Legal challenge- Severe reputational damage- increased strain on existing staff leading to increased turnover, loss of embedded knowledge and experience, and fatigue impacting quality of work. Risk of entering a negative feedback loop (pressure causes staff loss, staff loss causes further pressure etc) further increasing	<ul style="list-style-type: none">- Close monitoring and communication with commissioned services by lead commissioners and Group Manager- Scrutiny and support from contract management team- Safeguarding risk escalated to LCC strategic risk register- Commissioned children's service has introduced a skill mix framework to alleviate Health Visitor pressures whilst maintaining adequate safeguarding. This involves splitting post duties and allocating less skilled work to appropriate staff to ease pressure on caseloads and health visitors.- Ongoing work to make Leicester a more attractive location for Health Visitors to attract and retain skilled workers.- Providers to be queried over planned response specifically around occurrence of strike action and widespread loss of staff. How will delivery be maintained / how will affected service users be captured and engaged etc	5	4	20	Treat/tolerate	<ul style="list-style-type: none">- Continual oversight of supplier BCP's and engagement on current pressures / concerns- Continual internal public health BCP review ongoing with consideration given to response in the event of risks presenting- Ongoing close monitoring of suppliers and skill / workforce concerns	5	3	15		Ivan Browne	Review by 30/05/2023	

Appendix 3 - Leicester City Council Operational Risk Register

Risk Register Owner: Alison Greenhill, COO						Risks as at: 31/01/2023										
RISK REF	RISK THEME / CATEGORY <i>Establish which category the risk falls into using PESTLE definition. See Process tab for more information</i>	LINK TO STRATEGIC RISK <i>Which Strategic Risk does the risk link to? Where relevant, refer to the SRR to establish which strategic risk is impacted by risk identified (Below link provides access to current SRR on SharePoint). Log strategic risk ref no.</i>	RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE			RESPONSE STRATEGY / ACTION <i>Select from the 4T's (see Process worksheet for definitions and further guidance): Tolerate, Treat,</i>	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
		https://leicestercitycouncil.sharepoint.com/sites/sec025/SitePages/Risk-management.aspx				Impact	Probability	Risk			Impact	Probability	Risk			
27	ECONOMIC SOCIO-CULTURAL	SRR 2.2 SRR 3.1 (although growth in demand is also due to knock on impacts from the pandemic not just cost of living and population growth) SRR 3.2 SRR 3.3	Health Protection / Covid 19 If recovery efforts are slower paced than desired this could lead to delivery and safeguarding issues. Variant strains or other diseases emerge increasing infection / mortality rates hindering recovery efforts and require further local lockdowns, preventative measures, or a continuance of existing efforts that were projected to be tapered off. Moving in to the winter months may create further strain on healthcare systems overall. There is only a single Infection Prevention Control (IPC) Specialist within public health that works on a part time basis providing all IPC support to the city. This is a significant bottleneck and single point of failure. A secondary impact of the pandemic may be other health aspects experiencing significant increases in occurrence as a knock on effect i.e. mental health, substance misuse, obesity, oral health that require increased resource to tackle Covid response services are wound down due to financial pressures, uncertain / dwindling funding to support, and reducing case numbers leaving us exposed in the case of variant strains or other diseases taking hold and requiring a significant response e.g. Disbanding of the track & trace team leaves the city without an ability to respond at pace to further health protection issues. Reduced access and low take-up of offered services during the pandemic impacts long term health outcomes, widens inequalities, and reduces opportunity to create income to reduce budget pressures. Further risk that low uptake / referrals that resulted from covid persist negatively impacting outcomes and inequalities.	<ul style="list-style-type: none">- Negative impact on resident health and wider Public Health outcomes and improvements- Potential variant or other disease cause large increase in case numbers that are unreported lead to further pandemic duration / restrictions. Increased infection rates mean further local lockdowns or preventative measures are enacted.- Further lockdown or restrictive measures would decrease morale across the city, hinder general recovery efforts, and create difficulties for LCC operations- Inadequate capacity and single point of failure for IPC operations means<ul style="list-style-type: none">- Service objectives not achieved/service not provided.- Increased outbreaks in vulnerable settings.<ul style="list-style-type: none">- Pressure on sole member of staff to provide an unreasonable level of cover for one person- Reputational damage to the authority if outbreaks poorly managed- Reduced ability to 'Live with Covid', recover, or respond quickly to contain future outbreaks- Potential serious impact on health and wellbeing of whole population, particularly those most vulnerable- Reputational damage to the authority if outbreaks poorly managed- If Covid secondary impacts activities persist without associated funding from Treasury to support this will create significant budget pressures.- Static or widening health inequalities- Needs increase over the longer term as a result of secondary impacts requiring increased (and sustained) resource and budget to tackle	<ul style="list-style-type: none">- Continued monitoring of covid data and national landscape- Monitoring of at risk health areas to determine level of future need when pandemic subsides- Consultants appointed to lead on health inequalities and system wide engagement and health protection, and covid response / recovery-Health Protection team / function created within the division with a focus on supporting settings with infection prevention control processes and managing incidents as they occur nationally and across the city- Service objectives set within context of limited capacity- Close relationship with social care teams to share capacity burden where appropriate- Training activities being built in to existing service to increase skills and knowledge of social care and care home staff- Sustained messaging reiterating the continued importance of following the national guidance to increase awareness- Horizon scanning and forward planning to intelligently balance potential resource pressures and safeguard agility in the event of a call to action against current needs and financial state	5	4	20	Treat	<ul style="list-style-type: none">- Continue with existing controls- Ongoing assessment of priority areas to continually determine needs and enable a timely data driven response- Continued close monitoring of outbreak data- Continued engagement with settings in the city to maintain standards and encourage continual improvement- Community wellbeing and vaccine champion programmes created and currently embedding to promote education and awareness of both covid and general health information- Service evaluations over time to inform discussions with partner teams.- Assess options to increase capacity.	4	3	12		Ivan Browne	Review by 30/05/2023
28	POLITICAL ECONOMIC	SRR 1.1 SRR 2.1 SRR 2.2 SRR 2.3	Commissioning <ul style="list-style-type: none">- Reduced budget for services impacts on financial viability to suppliers who may deem package to be unviable leading to a lack of bids reducing competition or tender failing altogether. This is exacerbated by tight financial envelopes and increased costs due to inflation.- Suppliers do not bid on tenders due to staff / skill shortages leaving them unable to meet requirements.- In the context of increasing costs and reduced or static budgets, providers could become unsustainable following covid without an uplift or adjustment to the funding received from public health. In conjunction with the below concerning partner organisations and Risk 8 this increases the likelihood that suppliers will serve notice on contracts or be unable to deliver. Services commissioned on activity based contracts are difficult to predict in times of uncertainty and risk under / over provision each of which come with financial and logistical challenges and risks. <ul style="list-style-type: none">- Partner organisations are restructured or undergo a change in policy resulting in changes which negatively impact our work / agreements or ability of supplier to deliver services. e.g.- County delivery model for school nursing has changed so city children going to county schools will no longer have access to the same public health nursing delivery and pathways as city schools offer. Services in these schools are outside of city control; provision will be different and pathways / services they should have available will not be.- County and Rutland have chosen to go separately in the re-commissioning of the Integrated Sexual health Service, meaning the city will be retendering for this large and complex service individually.	<ul style="list-style-type: none">- Providers could become unsustainable and serve notice on contracts without an uplift or adjustment to the funding received from public health. Loss of existing contractors due to inability to reconcile increased costs within static or reducing financial envelope.- Reduced or ceased delivery of statutory services. Potential legal and governance implications for LCC if delivery ceased.- Dependent on service, retendering may be extremely difficult given the increased complexity, of the landscape as well as the budgetary and time constraints we would be under. Risk of being without a service which would come with legal / governance implications, or having to pay inflated costs for interim delivery.- Reduced competition and sub-optimal suppliers awarded contracts to fulfil needs- Our offer may not be attractive to new providers during tenders; risk of failed procurement or lack of competition leading to sub-standard delivery- Loss or alteration of service provision and impact on community who require service leading to poorer outcomes, increased sickness rates and impact on NHS as demand increases for other services- Decreased morale and reputational damage to LCC- Funding gap leads to other programmes needing to be terminated to balance the budget. Immediate reduced provision and range of services to city residents with unknown long term impacts.- Underspends result from reduced activity that do not reflect underlying / actual budget pressures that will resume when pre-existing baseline is re-established. Budget is reduced or removed based on lower activity costs creating	<ul style="list-style-type: none">- Strong forward planning, bespoke procurement methods, and robust internal governance<ul style="list-style-type: none">- Clinical governance board in place for improved oversight and robust governance framework to ensure that commissioned services are robustly reviewed and monitored.- Performance review group provides oversight, early issue identification, and escalation process- Timely briefing of lead members to highlight potential risks and consequences- Expertise within team to assess choices and inform management briefings / options appraisal- Advocacy by LCC Director of Public Health 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.- Based on joint analysis between the sexual health service provider (MPFT) and public health regarding financial pressures, continuity funding at 100% of the contract value will be issued and services amended to ensure viability and effective delivery, particularly to identified vulnerable populations. Additional monitoring and ongoing analysis will continue to be conducted.-Close 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- Relationships built and maintained with partnership organisations to retain collegiate working environment and	4	4	16	Treat/Transfer	<ul style="list-style-type: none">-Continue with existing controls;-Continue to joint commission where appropriate (internal with LCC, and external with county and regionally)- Continued close monitoring of emerging risk from county moving towards an independent / inhouse delivery model or returning to activity based payments to shared suppliers- 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- Regularly review Business Continuity Plans to ensure minimal service disruption in the event of supplier failure.	3	5	15		Ivan Browne	Review by 30/05/2023

Appendix 3 - Leicester City Council Operational Risk Register					Risks as at: 31/01/2023											
RISK REF	RISK THEME / CATEGORY <i>Establish which category the risk falls into using PESTLE definition. See Process tab for more information</i>	LINK TO STRATEGIC RISK <i>Which Strategic Risk does the risk link to? Where relevant, refer to the SRR to establish which strategic risk is impacted by risk identified (Below link provides access to current SRR on SharePoint). Log strategic risk ref no.</i>	RISK <i>What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?</i>	CONSEQUENCE/EFFECT: <i>What would occur as a result, how much of a problem would it be, to whom and why?</i>	EXISTING ACTIONS/CONTROLS <i>What are you doing to manage this risk now?</i>	RISK SCORE			RESPONSE STRATEGY / ACTION <i>Select from the 4T's (see Process worksheet for definitions and further guidance): Tolerate, Treat,</i>	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
		https://leicestercitycouncil.sharepoint.com/sites/sec025/SitePages/Risk-management.aspx				Impact	Probability	Risk			Impact	Probability	Risk			
29	POLITICAL LEGAL	SRR 1.1 SRR 1.2 SRR 5.1	Policy & Governance - Population health and the wider determinants of health impact, and are impacted by, a broad range of activities LCC undertakes. There is an opportunity to increase the focus on the public health aspects of service area activities and aid in corporate strategy / policy discussions. By engaging more strongly with service areas that impact wider determinants and creating a 'health in all policies' culture across the Council health outcomes across the city could be significantly improved by leveraging a multiplier effect that PH could not achieve alone. Risk is that this is not supported or implemented in a timely fashion and the opportunity is lost. - Ongoing budgetary pressures and savings targets across LCC may lead to public health focus and engagement being deprioritised within service areas. - External national imperatives are introduced without associated budget creating difficulties in local delivery. - National policy changes impact existing work or ability to respond in a place appropriate manner. - Changes in structure / leadership to partner organisations i.e. PCC elections or changes to working agreements with city organisations impact project outcomes or hinder engagement / reach of community support work - Governance structures surrounding funding allocations and sharing between partner organisations are not formalised reducing ability to adequately oversee and manage funding streams and outcomes.	- Reduced outcomes over time lead to long term budgetary and resource drain that could be reduced by small tweaks to wider LCC activities - Reduced influence on corporate policies and strategy, and significant potential for improvement to wider determinants not capitalised on - Reduction of, or failure to realise improvements to, health outcomes for city residents. - Call on finances from NHS pay award, reducing available budget for existing work - Logistical difficulties to delivery for services or programmes. - Prioritisation / decommissioning / reduction of existing service delivery model - Call on PH reserves - Change in leadership may result in changes to organisations agendas which may impact our work / agreements. - Reduced efficacy as work is not tailored to the local area	- Internal governance, decision making processes, and budgetary oversight leveraging expertise within team to assess choices and inform management briefings / options appraisal - Advocacy by the Director of Public Health with local and national bodies - Close relationships built and maintained with service areas around the organisation. Capacity has been added to the team to increase corporate engagement - Strong engagement with local and national partners to aid horizon scanning and early signposting of potential issues - Good relationships with peers in other organisations are maintained as a matter of course to aid communication and working efficiencies - Specific workstreams created within the division to engage partners and to embed Public Health considerations in day to day operations	4	4	16	Treat	- Continued: - Political escalation - Corporate responsibility - Service & budget planning - Utilisation of partnership approach - Continued exploration of alternative treatment / therapy options or approaches within services or by programmes - Safeguard public health reserves in order to preserve ability to provide adequate response without significant detriment to corporate purse - Continued monitoring of medical landscape, and updates to guidance and clinical standards - Continued presence within LCC and corporate engagement to provide visibility to public health concerns and considerations that work of discrete service areas may unknowingly be able to positively impact	3	4	12		Ivan Browne	Review by 30/05/2023
30	ECONOMIC SOCIO-CULTURAL	SRR 2.2 SRR 3.2 SRR 3.3	Staffing and recruitment - Internal An emerging recruitment crisis across a variety of sectors creates difficulty, both within public health and our commissioned services or system partners, in securing sufficient staff with the appropriate skills and experience to meet the immediate public health challenges posed by covid response and recovery, and emerging issues. Unsuccessful recruitment (increased in likelihood due to the above point) or approval to recruit delays for existing and new posts cause capacity and timeframe pressures on ongoing delivery and rollout of new initiatives that would benefit from proceeding at pace. Capacity increase within the public health division is being outpaced by the broadening of scope and increased need that is resulting from current societal context - this is exacerbated by financial pressures and difficulties in recruitment. Public health have been simultaneously operating a covid response and recovery as well as BAU functions for nearly two years and will need to continue to do so for an indeterminate time creating sustained stress and pressure on individuals. This is drawing resource from existing teams and programmes stretching capacity thin and reducing resilience. Key staff leaving division creates deficit of skills, knowledge, key relationships and capacity, lack of resources for training, and reduction in external training opportunities, particularly as more areas seek to expand their public health capacity during covid.	- Increased demand on remaining capacity impacting on team morale. The health and wellbeing of existing staff is impacted resulting in individual burnout or increased staff turnover. Potential for this to lead to loss of key specialist skills, knowledge and expertise, and working relationships that are very difficult to replace due to national shortage of skilled workers. - Existing staff do not gain a breadth of public health experience. This results in an under skilled workforce, or increased turnover as further development is sought after by individuals (with associated difficulty in sourcing adequate replacements for posts). - Negative impacts on delivery of work and an inability to meet emerging objectives of individual services as well as divisional strategic objectives. - Reduction in ability to front run issues and adequately assess complex situations before being required to act. - Loss of in-year funding available if staff / initiatives cannot be put in place in a timely fashion. - Delay in advertising / filling vacant posts exacerbating capacity issues - Gap in leadership / delivery of public health functions	- Close management and oversight of individual workloads and projects - General training and development opportunities and organisational development utilised - Upskilling team - public health supporting staff to undertake a Masters in Public Health and for staff to follow work based public health training pathways - Specific courses identified and allocated to appropriate staff. Training review ongoing by working group created to manage training needs.. - Early identification of potential staffing needs / vacancies with early engagement with HR to ensure timeframes to recruit are sensible -Capacity in across the team increased and analysis of need ongoing. - Team restructure undertaken to more efficiently redistribute capacity and portfolios - Increased team awareness at all levels of importance of self care, with support offered necessary. Ongoing team building events / exercises in place to aid wellbeing and an internal pastoral support scheme has been implemented to ensure support pathways are available to those who require it. - Recruitment concerns escalated	4	4	16	Treat	- Continual audit of needs and skills against Public Health KSF to identify and fill key knowledge and skills gaps across division - Produce a Public Health workforce strategy including succession planning. Task and Finish group being set up to work on this. - BCP review and update regularly scheduled to ensure succession planning and key staff availability plan is adequate. - Ongoing identification of single points of failure and planning / documentation to mitigate risk of project lead unavailability - Consideration within service plans for posts and building in long time scales for recruitment as standard practice to be considered in forward planning - Continued monitoring of capacity needs and fixed term recruitments to mitigate issues where appropriate - Continued focus on employee wellbeing and provision of adequate support where necessary	4	3	12		Ivan Browne	Review by 30/05/2023

Appendix 3 - Leicester City Council Operational Risk Register

Risk Register Owner: Alison Greenhill, COO						Risks as at: 31/01/2023										
RISK REF	RISK THEME / CATEGORY	LINK TO STRATEGIC RISK	RISK	CONSEQUENCE/EFFECT:	EXISTING ACTIONS/CONTROLS	RISK SCORE			RESPONSE STRATEGY / ACTION	FURTHER MANAGEMENT ACTIONS/CONTROLS	TARGET SCORE			COST	RISK OWNER	TARGET DATE
			What is the problem; what is the cause; what could go wrong? What is it that will prevent you from achieving your objectives?	What would occur as a result, how much of a problem would it be, to whom and why?	What are you doing to manage this risk now?											
						Impact	Probability	Risk			Impact	Probability	Risk			
31	TECHNOLOGICAL LEGAL	SRR 4.2 SRR 4.3 SRR 5.1	<p>Data</p> <p>Complex data sharing agreements with external organisations not in place or understood by officers which restricts information flow into public health required to deliver objectives</p> <p>Self reported data that cannot be verified for activity based contracts leads to uncertainty over financial position and potential over payments</p> <p>Increased appetite for data and ongoing reporting needs due to covid have hindered ability to deliver BAU reporting functions and caused a backlog of Health Needs Assessments awaiting completion / attention.</p> <p>Increased data access implemented during covid is withdrawn once BAU returns, leading to reduced data provision and less timely / accurate reporting</p> <p>Updated NHS Patient Safety Framework is incompatible with LLR Reporting Protocol negatively impacting data availability and workflow surrounding reporting of incidents. Risk that we lose sight of incidents / cases and are unable to assess contract performance adequately.</p>	<ul style="list-style-type: none">- Delay or complete stoppage in obtaining information required to make timely decisions for service users.- Distress to service users- Reputational damage to LCC- Potential financial burden or incorrect overspend for activity- Potential litigation claims for failure to deliver- Increased stress on LCC staff- Difficulties in workload management and timely production of existing reports and statutory functions as well as making capacity management difficult.- Impact on service delivery and response agility- Reduced data provision and indicators potentially being missed or identified later than they may have been delaying (or preventing) mobilisation.- Negative impact on our ability to both proactively and reactively manage NHS providers that we commission to deliver services due to reduction of oversight and visibility of issues arising in NHS providers for all of PH / LCC. Analysis and ongoing management of service quality is severely hampered without insight or access to incident data.- Obfuscation and extension of timelines for responses and investigations into serious incidents increase the likelihood of unsatisfactory outcomes for users as well as increased waiting times	<ul style="list-style-type: none">- Work-around arrangements in place with key organisations to share basic information- Working with wider network of organisations to establish data sharing protocols and file transfers- Engagement with information governance to ensure that any risks of data sharing are identified and managed.- Increased relationship building and engagement across system partners- Continued close communication and engagement with Integrated Care Board / Leicestershire Health Informatics Service (LHIS) regarding the issues surrounding data availability and access.- Data sharing agreement recently secured with LHIS that will allow for direct access to anonymised GP data in order to better track performance and volumes. This is currently embedding with positive results on the payments aspect in terms of accuracy and assurance. Data streams for performance analysis are still being assessed to ensure accuracy and are expected to be available for use in the near term.- Close working relationship with IT, procurement, and information governance to establish and maintain data sharing agreements with services external to LCC- Additional resource added to data function- Close working relationship with LPT as 0-19 provider with the aim of maintaining adequate management oversight with visibility of reports and attendance of weekly oversight meetings..- Escalation within public health	4	4	16	reat / Tolerat	<ul style="list-style-type: none">- Ongoing engagement with information governance and partners to resolve existing and arising issues- Undertake an exercise to identify all organisations and data needs and perform gap analysis- Ongoing horizon scanning of other services where NHS Patient Safety framework changes could become an issue (potential to effect all NHS services and generate complications when commissioning procurement of new services).- Continue to work with providers to understand implications of NHS Patient Safety framework changes on services, and liaise with multi-agency partners to plan a way of managing this.Continued close contractual oversight with LPT to ensure current level of visibility for 0-19 contract is maintained- Agree a corporate LCC stance on NHS Patient Safety framework changes	3	3	9		Ivan Browne	Review by 30/05/2023