

## Appendix 3 - Leicester City Council Operational Risk Register

**Risk Register Owner: Andy Keeling, COO**

**Risks as at: 30 April 2013**

Risk What is the issue:  <i>whats is the root cause/ problem – what could go wrong</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	Risk Score with existing measures (See Scoring Table Below)			Further management actions/controls required	Target Score with further management actions/controls required (See Scoring Tables Below)			Cost	Risk Owner	Target Date
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<b>1. Adult Social Care &amp; Safeguarding</b> - Quality of intermediate care provision falls below required standards.	Detriment (harm) to individuals, groups or the Council (financial or reputational)	Management audits of practice and development of plans to promote improvements	5	3	15	SCA engaged to aid quality audit in residential care. Improvement plan.	5	2	10		Ruth Lake	31/03/2014 and ongoing
<b>2. Adult Social Care &amp; Safeguarding</b> - Ineffective partnership working with Leicester City NHS.	Failure to deliver intermediate care priorities and make efficiency targets	Strategy and redesign work to establish cross-economy commitment to intermediate care models	4	4	16	Engage with H&WB as it establishes	3	3	9		Ruth Lake	31/03/2014 and ongoing
<b>3. Adult Social Care &amp; Safeguarding</b> - Failure to maintain essential health and safety and Maintain safe water systems in all units.	Ill health or death to residents and/or staff or visitors from water borne infections e.g. legionella	Water hygiene monitoring practice in place	5	3	15	Ensure all registered managers go on required training and fully understand the requirements for temperature checking, flushing regimes, tap cleaning etc and can closely monitor those carrying out these tasks.	5	2	10		Ruth Lake	31/03/2014 and ongoing

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<b>4. Information &amp; Customer Access - Risk:</b> Failure of MS Lync. implementation (Voice services migration) in part or totally exacerbated by narrowing time envelope	<ul style="list-style-type: none"> <li>• Council ceases to function totally or in part through loss of voice services</li> <li>• Alternative voice solution not in place ahead of NWC move causing delays within moves</li> <li>• major cost over-runs are experienced in delivering an alternative solution</li> <li>• Cost benefits of MS migration are lost</li> <li>• Ability to exploit new ways of working is seriously compromised</li> </ul>	Director and Project Steering Group actively monitor/manage delivery Thorough pilot of Lync. Proof of Concept solution within Information & Customer Access followed by initial pilot with small remote office BCP planning for implementation being tested Lync experienced Project Manager in place	5	4	20	Project Communication <ul style="list-style-type: none"> <li>• Detail lessons learnt process to incrementally improve processes</li> <li>• Prioritisation of resource to Project</li> </ul>	4	2	8		Jill Craig	Dec-13

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<p><b>5. Information &amp; Customer Access - Risk:</b> Managing delivery of continuing levels of service with vacancies resulting from increasing retention &amp; recruitment difficulties and staff churn. Difficulties within the recruitment internal and external pools to find suitable resources. Staff departures due to ever increasing budget pressures</p>	<ul style="list-style-type: none"> <li>• Staff departure Single Points of (Human) Failure</li> <li>Unable to recruit to posts/loss of key staff</li> <li>• General and/or major degradation of council ability to function</li> <li>Failure to deliver of key service improvement projects.</li> <li>Inability to meet resourcing needs for major site moves including NWC and DC as well as deliver Lync etc.</li> </ul>	<p>Director and Project Steering Group actively monitor/manage delivery Thorough pilot of Lync. Proof of Concept solution within Information &amp; Customer Access followed by initial pilot with small remote office BCP planning for implmentation being tested Lync experienced Project Manager in place</p>	4	4	16	<ul style="list-style-type: none"> <li>• Project Communication</li> <li>• Detail lessons learnt process to incrementally improve processes</li> <li>• Prioritisation of resource to Project</li> </ul>	4	2	8		Jill Craig	Dec-13

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<b>6. Information &amp; Customer Access - Risk:</b> Failure to complete move of corporate data centre in a timely manner and Project costs exceeding budget	Delivery of new Data Centre is not sequenced to complete prior to moves of staff from NWC leading to major service disruption/potential failure of corporate service delivery. Time delays within overall contracting processes delay start/complete. Sequencing of DC move affects ability to complete other NWC related moves leading to knock on delays in programmes. Insufficient funding to complete project to original specification	<ul style="list-style-type: none"> <li>• Mayoral directive to deliver without awaiting NWC decisions</li> <li>• Corporate Accomodation Stratgey Implementation (ASI) Programme Board Agenda item.</li> <li>• Site selection process complete, statutory planning requirements in hand, Project Tender process advanced. Soft Market Testing Internal Project Management Board appointed and Project Manager appointed. Project out to tender Moves sequencing factors raised to ASI Board</li> </ul>	5	4	20	Budget allocation finalised.  Selection/appointment of specialist design and delivery partner(s) in tender process. Comprehensive migration planning	5	2	10		Jill Craig	Oct-13

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<b>7. Human Resources &amp; Workforce Development</b> - HR efficiencies not realised leading to greater service cuts in the HR service.	Risk to wider organisation of its ability to implement significant organisational change, linked to budget setting proposals.	Budget proposals accepted. Income targets set	4	4	16	Year one savings achieved through alternative management action, such as release of vacant posts. Income project halted whilst review is on-going and will be restarted with a view to achieving year 2 targets. Financing of HR staffing in review (i.e. base budgets) will further release income, which will contribute to future savings targets.	3	3	9		Steph Holloway	01/03/2014
<b>8. Property</b> - The discontinuation of PCP (reduction in capital investment) and the continuing need to accommodate pupil increases.	A Statutory duty is not met	Established working group to assess options. Other funding sources being explored including bids to PSBP Property Health Surveys on all Primary Schools to be completed before end of April 2013.	4	4	16	Develop long term strategy across the primary school estate	4	2	8	Staff time	John Stevens	October 2013 then half yearly

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<b>9. Property -</b> Reduction in capital investment in schools with ageing school stock and deteriorating condition.	Potential to not meet statutory building requirements. Reputational damage to the council.	Assessing a range of construction options (e.g. modular, pre-fab) to reduce build costs - to be coompleted by May 2013.	4	4	16	Develop long term strategy across the primary school estate.	4	2	8	Staff time	John Stevens	October 2013 then half yearly
<b>10. Property -</b> Failure to attract candidates with requisite skill sets due to single status grade resulting in vacant positions or poor appointments.	Affects all delivery resulting in poor efficiency and effectiveness and possible reputational damage to the council through adverse press coverage.	Review in place. On completion recruitment may be needed.	4	4	16	Work with DMT to identify alternate project and programme management process such as cluster management	4	2	8	Staff time	John Stevens	October 2013 then half yearly

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<b>11. Property - Business Continuity Issues re Asbestos</b>	Closure of buildings	1. Findings of asbestos action plan being implemented. 2. Asbestos monitoring returns to be reported to DivMT and Heads of Property monthly. To OB and SMB if cause for concern. 3. Action plan works now completed, signed off by H&S and now being monitored.	5	3	15	1. Ensure 100% compliance with asbestos returns with accurate data by holding BROs to account 2. Ensure all buildings have an asbestos register	3	2	6	Staff time	John Stevens	October 2013 then half yearly

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<b>12. Property - Business Continuity Issues re Water Hygiene</b>	Closure of buildings	1. Implementation of control regime comprising ongoing regular monitoring, reports, risk assessment reviews and maintenance with allocated budgets. 2. Water hygiene monitoring returns to be reported to DivMT and Heads of Property monthly. To OB and SMB if cause for concern. 3. Spend of allocated capital budget for water hygiene and production of ongoing prioritised schedule of works ongoing 4. Water hygiene responsibilities in non-op estate have been confirmed and necessary action taken	5	3	15	1. Seek 100% compliance with water hygiene returns with accurate data. 2. Further budget for 12/13 works approved in capital programme. 3. More rigorous audit of BRO monitoring to be undertaken.	3	2	6	Staff time	John Stevens	October 2013 then half yearly
<b>13. Property - Economic downturn affecting budget.</b>		Monthly on voids and financial implications thereof to DMT and Mayors Property Briefing.	4	4	16	Send rent demands, reviews and renewals on time - collect rent on time.	3	4	12	Staff time	John Stevens	October 2013 then half yearly



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<b>14. Care Services &amp; Commissioning (ASC) - Financial Risk</b> – To develop a methodology for deciding the fees uplift for the independent residential providers, to prevent possible JR.	External professional support has been sought to assist with the process	Specialist professional support and legal advice has supported the process. The Executive is fully informed	4	4	16	External professional and legal advice is being sought as a means of limiting a possible JR challenge	3	1	3	A JR legal challenge could cost the authority several millions if the methodology used by the Council is not robust	Tracie Rees	Jun-13
<b>15. Care Services &amp; Commissioning (ASC) - Quality of care provision falls below required standards</b>	Detriment (harm) to individuals, groups or the Council (financial or reputational)	Management audits of practice and development of plans to promote improvements	5	3	15	SCA engaged to aid quality audit in residential care. Improvement plan.	5	2	10		Tracie Rees	31/03/2014 and ongoing
<b>16. Care Services &amp; Commissioning (ASC) - Failure to carry out effective statutory consultation will result in financial and reputational damage to the council.</b>	Council could face legal challenge through judicial review	Consultations being run as a dedicated project overseen by a senior manager with some temporary additional resource	5	4	20	A lean sign off process needs to be developed and agreed to avoid creating last minute changes and pressures	5	1	5	A JR legal challenge could cost the authority several millions if the methodology used by the Council is not robust	Divisional Director	30.05.13

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<b>17. Care Services &amp; Commissioning (ASC)</b> - High risk politically, however failure to implement carries high financial risks in terms of deteriorating buildings and reducing occupancy levels	Public protest of proposals, raised risk of non CQC compliance due to deteriorating buildings and high agency usage. Raised risk of council disrepute and negligence	Effective resident and staff consultation	5	4	25	To provide factual information and support to staff that may be impacted on by any proposed changes via Trade Unions, HR, and Amica. Care management teams to support and inform residents and carers.	4	3	12		Divisional director	Jun-13
<b>18. Care Services &amp; Commissioning (ASC)</b> - Failure to maintain quality, safe services	Reduced quality, safeguarding, staff sickness	Addeco opening up the market, developing induction days and tools, benchmarking training and using the Swedish Derogation rule for consistency	4	4	16	Monitor and engage with Addeco to ensure development measures are undertaken. Monitor quality of agency staff	2	3	6		Tracie Rees	31/03/2014 and ongoing

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<b>19. Delivery, Communications and Political Governance</b> Fail to have a fit for purpose constitution and underpinning processes to support effective governance and decision-making	Lack of transparency and clarity in decision-making. Burdensome appropriate. Decisions not taken in a timely manner. Potential for unlawful processes.	Decision making processes reviewed and new arrangements in place. Constitution revised and agreed by Full Council. Further work on other aspects of the Constitution underway and new standards arrangements agreed and now operational. The Contract Procedure Rules have been revised and agreed as part of this. New Regulations issued in respect of Executive Decisions	5	4	20	Continue to communicate and embed new processes across the Council. Continue further work required on the Constitution including report proposing revisions to the Political Conventions - due to go to Council in March.	3	2	6		Miranda Cannon	Jun-13
<b>20. Delivery, Communications and Political Governance</b> Divisional resources not aligned to the structures and needs of the Council	Impacts on ability to deliver the Divisional work-plan and core business. Division fails to meet expectations of services	Reviews completed in PPP / OI and Dem Services and post-review transition and customer engagement managed. Agreed additional resources and refocusing in relation to the Communications Team.	4	4	16	Plan and implement reviews of other key areas specifically Corporate Admin, Scrutiny support team and Marketing working with the relevant Heads of Service.	3	3	9		Miranda Cannon	Jun-13

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<b>21. Delivery, Communications and Political Governance</b> Council fails to engage / commission appropriately from the VCS. LCC is at risk of judicial challenge if we fail to manage the contractual relationships effectively and in line with statute	Reputational damage from the perspective of the sector. The Council does not get maximum benefit from a thriving VCS in the city. The resilience and viability of the VCS is damaged. Risk of formal challenge e.g. judicial review from not engaging and consulting effectively with the sector	Regular monthly progress reporting is now in place for all reviews. The Compact Steering Group has transformed into a strategic public/VCS group. Cllr Sood and Miranda Cannon working with the Group to refocus how it operates and maximise its impact	4	4	16	Continue to further develop relationships	4	3	12		Miranda Cannon	Ongoing

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<b>22. Delivery, Communications and Political Governance</b> Failure to provide a managed and coherent response to the process. Failure to effectively support the process	Review is delayed causing reputational damage. Negative perceptions by elected members and MPs and the media which impacts on reputation and causes significant distraction for the organisation. Electoral processes are impacted unnecessarily	Early meetings held with the Boundary Commission to understand the process.	4	4	16	Establish a project plan and project team to support delivery of the review. Ensure stakeholder issues are considered carefully	4	3	12		Miranda Cannon	Nov-14

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<b>23. Finance</b> - Financial challenges - the Council fails to respond adequately to the cuts in public sector funding over the coming 2 - 3 years.	Council is placed in severe financial crisis. Reputational damage to the Council. Significant job losses leading to potential to destabilise the Council and difficult industrial relations. Mismatch between service demand and budget availability may lead to an increase in financial instability in some instances. Pressure may be created between 'demand led services' (social care) and other priorities	Budget for 2012/13 agreed as part of three year budget for 2012/15. Robust monitoring by SMB. Work commenced on budget for 2013/14-2014/15 and for longer term beyond 2015. Budget proposals are scrutinised by finance teams for accuracy and achievability.	5	4	20	Development of savings proposals for future years beyond the three year strategy, reflecting the Council's strategic service priorities and on-going modelling of the Council's potential future income and cost streams, recognising the significant reviews of Local Government funding and service delivery responsibilities at national level. Uncertainties remain to be resolved over the effects of Council Tax Discount and Business Rates localisation from April 2013. Ongoing checks via budget monitoring and monitoring of growth and savings	5	2	10		Alison Greenhill	31.03.2014 and Ongoing

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<b>24. Finance -</b> Revenues and Benefits - Data loss - MAPPA detail. Legislation changes to LHA exemption.	Breach of security on MAPPA data	Data is 'hidden from general view' with only authorised access to management level	5	3	15	Data management qualities are tested and monitored regularly. IA tests the resilience of the 'hidden' data from attack.	5	2	10	£2K	Alison Greenhill	Mar-14
<b>25. Finance -</b> Revenues and Benefits - Data breach - DWP data or safeguarding claim.	Breach of security on DV /sensitive cases or DWP CustoeMr Information System	Claims are handled by a specialist team.Forced preview of letter to be sent to allow checking prior to print. Refreshers course ran regularly on DPA issues	5	3	15	Range of suggestions from Info Governance.Plan in place to adopt new model of working	5	2	10	£3K	Alison Greenhill	Mar-14

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<b>26. Finance -</b> Corporate Procurement - Failure to comply with proper procurement practice in contracts.	Breach of Procurement rules.	1. More trained staff in place centrally to draw up documentation, manage and advise on tenders 2. New CPRs approved 3. Category managers in place across CD&N/Housing and now involved in significant areas of spend. 4. Fleet procurment now led by LCC with governance board in place. 5. ESPO will now inform LCC Procurement Head if officers approach them <del>without CRT involvement</del>	3	5	15	1. Eliminate approved procuring officer model 2. Fully centralise procurement 3. HoP approval on framework use (incl.ESPO) 4. Develop Procure to Pay compliance role 5. Development of RMS contracts module.	3	2	6		Alison Greenhill	31.03.2014 and Ongoing
<b>27. Housing -</b> Failure to comply with Data Protection Act 1998 by failing to adequately secure confidential data.	Adverse affect on LCC reputation. Loss on confidence in organisation. Possible litigation	All staff trained in data protection. Information Sharing Protocol in place with many other organisations.	5	3	15	Ongoing communications to staff to reinforce policies and protocols. Regular reviews supported by Information Governance team.	5	2	10		Ann Branson	31.03.2014 and Ongoing



