

Appendix 3 - LCC Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31 July 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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1. Adult Social Care & Safeguarding - Wider Partners/NHS Change: risk to development of integrated working	Failure against national commitments on integration. Services are not aligned; Financial risk; Conflict between priorities of organisations; Transformation programme targets are not met.	High visibility at partnership forums; Support to frontline staff to maintain operational relationship management; Communication strategy for transformation in context of integration includes partners.	4	4	16	Establish clear partnership arrangement to agree and deliver Integrated Care in Leicester; maximise Pioneer opportunity	3	3	9		Ruth Lake	Pioneer status to be agreed (or not) end of June; governance arrangements to follow
2. Adult Social Care & Safeguarding - Failure to maintain essential health and safety in intermediate care	Ill health or death to residents and/or staff or visitors from water borne infections e.g.	Water hygiene monitoring practice in place	5	3	15	Ensure all registered managers go on required training and fully understand the requirements for	5	2	10		Ruth Lake	31 March 2014 and ongoing

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3. Adult Social Care & Safeguarding - Ineffective partnership working with Leicester City NHS results in failure to impement new IC unit.	Failure to deliver intermediate care priorities and make efficiency targets; capital risk	Strategy and redesign work to establish cross-economy commitment to intermediate care models	4	4	16	Engage with H&WB as it establishes; establish programme board with CCG input	3	3	9		Ruth Lake	Oct 2013 for Board to be in place and effective

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4. Information & Customer Access - Failure to complete move of corporate data centre in a timely manner and Project costs exceeding budget	Risk is: 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"> • Mayoral directive to deliver without awaiting NWC decisions • Corporate Accomodation Stratgey Implementation (ASI) Programme Board Agenda item. • 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 	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	Dec-13

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5. Information & Customer Access - Managing delivery of continuing levels of service with vacancies resulting from increasing retention & recruitment difficulties and staff churn.	<ul style="list-style-type: none"> • Staff departure Single Points of (Human) Failure Unable to recruit to posts/loss of key staff • General and/or major degradation of council ability to function Failure to deliver of key service improvement projects. Inability to meet resourcing needs for major site moves including NWC and DC as well as deliver Lync etc. 	1. Internal promotions and developmental opportunities 2. Explore Graduate recruitment 3. Extend recruitment search 4. Agencies	4	4	16	Work closely with HR to achieve more effective recruitment e.g. targetted advertising	4	2	8		Jill Craig	Dec-13

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6. Information & Customer Access - Failure of MS Lync. implementation (Voice services migration) in part or totally exacerbated by narrowing time envelope	Risk is: • Council ceases to function totally or in part through loss of voice services • Alternative voice solution not in place ahead of NWC move causing delays within moves • major cost over-runs are experienced in delivering an alternative solution • Cost benefits of MS migration are lost • Ability to exploit new ways of working is seriously compromised	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 and coordinating activity with other MS projects in hand corporately	5	4	20	• Project Communication • Detail lessons learnt process to incrementally improve processes • Prioritisation of resource to Project	4	2	8		Jill Craig	Oct-13

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7. Human Resources & Workforce Development - 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	01/03/14
8. Property - Inability to fill vacant posts due to budget or other constraints	Short comings in management of compliance and potential for reduction in ability to deliver service and budget targets across the Division	Relying on existing staff to cover where possible. RAF signed to fill maternity cover post and tech support post through redeployment. Additional support provided in some areas.	3	5	15	Opportunity for greater emphasis on compliance in ongoing review. Review of Property Services gives opportunity to address imbalances.	3	4	12		John Stevens	

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9. Property - Economic conditions affecting budget	Budget targets not met, impact on overall division budget	Monthly report on voids and financial implications thereof to DMT and Mayors Property Briefing.	4	4	16	Regular review of rental levels to ensure portfolio remains competitively priced. Review of poorly performing assets, long term voids. External assessment of portfolio by ECH.	3	4	12	Staff time	John Stevens	31 March 2014 and ongoing
10. Property - Asbestos Management	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. More rigorous audit of BRO monitoring to be undertaken.	3	2	6	Staff time	John Stevens	31 March 2014 and ongoing

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11. Property - Management of Water Hygiene	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	5	3	15	1. Seek 100% compliance with water hygiene returns with accurate data. 2. More rigorous audit of BRO monitoring to be undertaken.	3	2	6	Staff time	John Stevens	31 March 2014 and ongoing

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12. Property - Water Hygiene Management in BSF Schemes	Delays in construction Closure of buildings Death or injury Prosecution Loss of reputation	BSF team to ask Asset Strategy team for information in advance of undertaking works, including design proposals	5	3	15	Asset Strategy team to provide when asked by BSF team relevant information in reasonable timescales prior to undertaking works, including early consultation on design proposals	4	2	8	Staff time	John Stevens	31 March 2014 and ongoing
13. Property - FM and Lifecycle costs are not affordable/ VfM and create affordability issues for LCC and Schools.	Lifecycle costs are too high.	Phase 1 and 2 schools in contract therefore being managed. D&B schools in phases 3 - 6 to be reviewed subject to the option appraisal and outcomes of the property review.	5	4	20	Option appraisal for the delivery of FM Services to be concluded.	4	2	8	Long term affordability and maintenance	John Stevens	30-Apr-13

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13. Property - The alternative fuel variation is not implemented within a timescale that meets the construction contract leading to delays and additional costs	Costs associated with the use of Bio Fuel are too high.	Report produced for Executive to consider both the economic and environmental implications of fuel choice. Key decisions needed to ensure achievement of strategic outcomes as well as cost effective solution. Preference to use gas being pursued	5	4	20	Appraisal of the use of gas heating and alternative technology to be concluded.	4	2	8		John Stevens	30-Apr-13
14. Care Services & Commissioning (ASC) - Financial Risk – A methodology has been developed to base 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	1.9.2013 - legal are currently dealing with the issues arising from the consultation
15. Care Services & Commissioning (ASC) - Quality of 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	Audit processes in places via ASC contracts and assurance tea. This is in addition to CQC inspections.	5	2	10		Tracie Rees	31 March 2014 and ongoing

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16. Care Services & Commissioning (ASC) - 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 March 2014 and ongoing
17. Care Services & Commissioning (ASC) - Failure to carry out effective statutory consultation will result in financial and reputational damage to the council.	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	Tracie Rees	31 March 2014 and ongoing

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18. Care Services & Commissioning (ASC) - 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 buidings and high agency usage. Raised risk of council disrepute and negligence	Effective resident and staff consultation	5	4	20	To provide factual information and support to staff that may be impacted on by any proposed changes via Trade Unison, HR, and Amica. Care management teams to support and inform residents and carers.	4	3	12	There are budget savings of £3.5m associated with the future of the homes	Tracie Rees	31 March 2014 and ongoing
19. Delivery, Communications and Political Governance - 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 embedded in place. Ongoing process of briefing senior mgrs and others as required. Work being completed on the constitution to reflect specific changes and to further improve. Further work on other aspects of the New Regulations issued in respect of Executive Decisions and have been addressed including work on officer executive decisions	5	4	20	Continue to communicate and embed processes across the Council. Complete the work on the Constitution including report proposing revisions to the Political Conventions - due to go to Council in Sept	3	2	6		Miranda Cannon	Sep-13

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20. Delivery, Communications and Political Governance 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	Sep-13
22. Delivery, Communications and Political Governance 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	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. Recruitment underway for a new post to provide a corporate lead role in relation to co-ordinating work with the VCS across the Council	4	4	16	Continue to further develop relationships. Recruit and embed new post	4	2	8		Miranda Cannon	31 March 2014 and ongoing

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21. Delivery, Communications and Political Governance 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	Regular engagement with the Boundary Commission to understand the process. Work underway to gather information to inform possible warding patterns	4	4	16	Finalise work on warding patterns to provide to members. Continue engagement with the Commission	4	3	12		Miranda Cannon	Nov-14

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22. Delivery, Communications and Political Governance Failure to accurately capture key data and information needed to accurately monitor operational performance and to complete relevant statutory returns	Government intervention. Gaps in data lead to incorrect service interventions and potential service failure.	Work underway with Departments on reviewing longer-term data capture requirements. Within social care the move from Carefirst to Liquid Logic will include a focus on data capture and data quality	4	4	16	Establish a programme of data quality activity to review and address weaknesses in approach	4	3	12		Miranda Cannon	Apr-14

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23. Finance - 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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24. Finance - Corporate Procurement - Failure to comply with proper procurement practice in contracts.		1. More trained staff in place centrally to draw up documentation, manage and advise on tenders 2. new CPRs approved	3	5	15	1. Eliminate approved procuring officer model 2. Fully centralise procurement 3. HoP approval on framework use	3	2	6		Alison Greenhill	Mar-14
25. Finance - 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		Alison Greenhill	31/03/2014 and ongoing
26. Finance - 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	31.03.2014 and Ongoing

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27. Housing - Loss of rental income will adversely affect the HRA	Impact of Welfare Reform on HRA rental income collection. Universal Credit (UC) is to be fully implemented in 2017 . Under UC, claimants will receive all their benefits, including housing costs element the, directly themselves, monthly in arrears. They will have to pay their FULL rent out of this. The biggest challenge to the HRA will be to collect the full rent from those working age claimants whose housing costs are no longer paid directly to the Landlord (LCC) as they are now.	Promote setting up of Credit Union Bank Accounts with tenants., Focus STAR team support on those affected. maximise the number of tenants claiming DHP for bedroom tax affected cases. Identified tenants who are over-occupying in order to help with down-sizing. Promotion/awareness to tenants of Discretionary Housing Payments (DHP).	4	4	16	develop IT system to support paperless direct debits. Amend tenancy agreement for all tenants to make it a requirement that they pay rent either by direct debit or CUBA account.	4	3	12		Ann Branson	31.03.2014 and Ongoing

