

## Appendix 4- Leicester City Council Operational Risk Register

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

**Risks as at: 31 January 2014**

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> Integration agenda. Risks associated with large programme of change in challenging financial context.	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 BCF opportunity.	3	3	9		Ruth Lake	BCF plan 14-02-2014; implementaion planning through 2014/15
<b>2. Adult Social Care &amp; Safeguarding -</b> Meet H&S expectations in regulated provision. Fail to maintain safe water systems in all units; Failure to maintain essential health and safety in intermediate care provision.	Ill health or death to residents and/or staff or visitors from water borne infections or poor H&S practices.	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 March 2014 and ongoing

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<b>3. Adult Social Care &amp; Safeguarding</b> - Failure to deliver satisfactory Intermediate care capacity. 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/reputational /political risks.	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	Work will be ongoing throughout 2014 to 2016
<b>4. Information &amp; Customer Access</b> - Failure to complete move of corporate data centre in a timely manner and Project costs exceeding budget	Risk Is: Migration of Infrastrucrture and Server hardware over a 2 to 3 month period. Failure of Hardware component during migration. System misconfiguration at new DC and time contingency for the move has been severely eaten into and cannot be	Professional suppliers to be utilised to carry out Hardware transportation. Detailed, documented and interlocking team and service plans to be prepared for migration and acceptance testing at every stage	5	4	20	Advance warning to users when their service is likely to be impacted. Comprehensive and documented user Acceptance Testing . a) UAT from Suppliers for handover of DC b) UAT from Infrastructure for handover to Server Team c) UAT from Server Team for Core Services d) UAT from users when	5	3	15		Jill Craig	Apr-14

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<b>5. Information &amp; Customer Access -</b> Managing delivery of continuing levels of service with vacancies resulting from increasing retention & 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.	<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 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>	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. Actively utilise new corporate processes within current recruitment freeze	4	2	8		Jill Craig	Mar-14

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<b>6. Information &amp; Customer Access -</b> 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 co-ordinating 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	Mar-14

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<b>7. Human Resources &amp; Workforce Development -</b> Efficiencies arising from the HR Review lead to capacity pressures on service and delays in progressing vital casework	Risk to wider organisation of its ability to implement significant organisational change, linked to budget setting proposals.	Regular monitoring of casework undertaken. Resource allocation to casework monitored by Senior HR Manager - Operations, including greater independence of managers in HR matters where considered appropriate.	4	4	16	Management development programmes to be reviewed to ensure that managers are able to become more self sufficient in HR matters. On-going management of resource allocation and increased prioritisation of HR involvement in key areas.	3	3	9		Steph Holloway	01/03/2014
<b>8. Property - Schools Capital.</b> Raising educational achievement.	Discontinuation of PCP (reduction in capital investment) and the continuing need to accommodate pupil increases. Statutory duty 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 by end April 2013	4	4	16	Develop long term strategy across the primary school estate	4	2	8	Staff time	Mark Lloyd	30/04/2014 and then ongoing, subject to 6 monthly reviews.

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<b>9. Property</b> - Schools Capital. Raising educational achievement.	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 completed by May 2013.	4	4	16	Develop long term strategy across the primary school estate	4	2	8	Staff time	Mark Lloyd	30/04/2014 and then ongoing, subject to 6 monthly reviews.

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<b>10. Property -</b> Securing adequate HR impacts on all strategic priorities	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	Mark Lloyd	30/04/2014 and then ongoing, subject to 6 monthly reviews.
<b>11. Property -</b> Maintaining Income (Capital and Revenue) on behalf of the Council	Economic downturn affecting budget	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	Mark Lloyd	30/04/2014 and ongoing

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<b>12. Property - BCM 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	Mark Lloyd	30/04/2014 and ongoing



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<b>13. Property - BCM 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 13/14 works approved in capital programme. 3. More rigorous audit of BRO monitoring to be undertaken.	3	2	6	Staff time	Mark Lloyd	30/04/2014 and ongoing

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<b>14. Care Services &amp; Commissioning (ASC) - Financial Risk</b> – A methodology has been developed to base the fees uplift for the independent residential providers to prevent possible JR. Issue is review of the fees paid to the residential providers for 2014/15	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	Legal Counsel is being sought to validate the methodology and consultation approach.
<b>15. Care Services &amp; Commissioning (ASC) - Quality of care provision in the council's residential homes 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	Audit processes in places via ASC contracts and assurance team. This is in addition to CQC inspections.	5	2	10		Tracie Rees	31 March 2014 and ongoing
<b>16. Care Services &amp; Commissioning (ASC) - Failure to maintain quality, safe services</b>	Reduced quality, safeguarding, staff sickness	Reed 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 Reed to ensure development measures are undertaken. Monitor quality of agency staff (Reed replaced Addecco wef 21/10/2013).	2	3	6		Tracie Rees	31 March 2014 and ongoing

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<b>17. Care Services &amp; Commissioning (ASC)</b> - Failure to carry out effective statutory consultation will result in financial and reputational damage to the council as the delivery of LD day services uses large percentage of agency staff.	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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<b>18. Care Services &amp; Commissioning (ASC)</b> - Future of the Councils 8 Elderly Persons Homes - High risk politically, however failure to implement carries high financial risks in terms of deteriorating buildings and reducing occupancy levels.	An Executive decision was made (15.10.2013) to close 4 of the homes and sell 4 to achieve budget savings and address falling numbers	A Progamme Board which will report to the CPMO has been established to implement the Executive decision over 3 years	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 managment teams to support and inform residents and carers. The CPMO approach is underpinned by a Communication plan, Risk register of its own and a Quality Assurance framework that supports this work.	4	3	12	There are budget savings of £3.5m associated with the future of the homes	Tracie Rees	2015/16 based on a phased approach.
<b>19. Care Services &amp; Commissioning (ASC)</b> - Future of the Council's Day Care services. High risk politically.	A report was presented to the Executive on 7th Jan 2014, seeking approval to close the service.	Any changes will be overseen by the ASC Transformation Progamme Board, which reports into the CPMO.	5	4	20	Approval has been given to roll out a Community Inclusion service, which will support people to access community based services.	4	3	12	There are budget savings of £900k associated with the future of the day care services.	Tracie Rees	28/02/2014 (on-going if decision made)

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<b>20. 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 embedded in place. Ongoing process of briefing senior mgrs and others as required. Further work completed on the constitution and agreed by Council in Sept 2013. A short guide to the Constitution has been developed and published along with improved guidance for the public on decision making.	5	4	20	Continue to communicate and embed processes across the Council. Keep the Council's Constitution under review as necessary.	3	2	6		Miranda Cannon	31 March 2014 and ongoing
<b>21. 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	A number of reviews completed and transition successfully managed. Review of corporate admin almost complete.	4	4	16	Plan and implement reviews of other key areas as required.	3	3	9		Miranda Cannon	Apr-14

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<b>22. 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.	VCS Engagement Manager appointed and focused on ensuring a co-ordinated and joined up approach to relationships with the VCS. Review now underway in relation to infrastructure support for the VCS and community engagement through the VCS.	4	4	16	Embed new post. Complete the VCS review	4	2	8		Miranda Cannon	Jun-14

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<b>23. Delivery, Communications and Political Governance</b> Failure to provide a managed and coherent response to support the effective delivery of the Boundary Commission review of ward boundaries in the city. 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. Input provided where requested into warding pattern submissions.	4	4	16	Continue engagement with the Commission and assess implications once recommendations start to emerge.	4	3	12		Miranda Cannon	Nov-14

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<b>24. Delivery, Communications and Political Governance</b> Failure to accurately capture key data and information needed to accurately monitor operational performance and to complete relevant statutory returns and feed into inspections.	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. Internal Audit to help support this.	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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<b>25. Housing</b> - Loss of rental income will adversely affect the HRA as a result of the impact of the Welfare reforms.	Universal Credit (UC) is to be fully implemented in 2017 . Under UC, claimants will receive all their benefits, including housing costs element, directly themselves, monthly in arrears. They will have to pay their FULL rent out of this. The biggest risk 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 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). Income Management team strengthened.	4	4	16	develop IT system to support paperless direct debits. Consider amending tenancy agreement for all new 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

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<b>26. Housing</b> - Failure to adequate protect people from fire in multi-occupancy dwellings.	Death, major or minor injury, litigation, poor publicity adverse affect on LCC reputation.	Risk assessments undertaken. Roles and responsibilities to meet regulatory framework have been agreed. Fire alarms systems installed. Fire doors installed. Signage in communal areas. Information given to new tenants. Letters sent to all tenants giving advice about belongings in communal areas. Any obstructions identified upon inspection	5	3	15	Training of new Estate Management Officer posts to undertake fire inspections on-going. Implementation of fire risk strategy is on-going.	5	2	10		Ann Branson	31.03.2014 and Ongoing
<b>27. Learning Services</b> - Schools in Ofsted categories or below floor standard converted to academies by order of the secretary of state.	Schools no longer LA schools; impact on overall schools budget and reputation of authority	School improvement strategy. S2S partnership are in place.	4	5	20	Targeted support packages in place for schools in scope for conversion. Half termly progress progress checks	4	4	16		Margaret Libreri	From July 2013

