

Appendix 2 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 30 April 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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1. Adult Social Care & Safeguarding - 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 complete; implementaion planning through 2014/15
2. Adult Social Care & Safeguarding - 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 2015 and ongoing

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3. Adult Social Care & Safeguarding - 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
4. Information & Customer Access - Telephony - Failure to achieve smooth close down of old PBX technology and full move to Lync	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	Decommissioning of smaller switches in hand. Detailed project plan. Fortnightly progress meetings involving Director.	5	3	15	Plan for NWC switch to be developed	4	2	8		Jill Craig	Apr-14

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5. Information & Customer Access - Failure to complete move of corporate data centre in a timely manner and Project costs exceeding budget	Risk Is: Migration of Infrastructure 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 recovered.	Professional suppliers to be utilised to carry out Hardware transportation. Third party consultancy brought in to review design and planning activity. Detailed, documented and interlocking team and service plans to be prepared for migration and acceptance testing at every stage. Refreshed Project Management Team and Review by Div Director	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 their server migrated.	5	3	15		Jill Craig	Aug-14

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6. Information & Customer Access - 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"> • 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 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 5. Consider use of third party support.	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. Establish flexible third party support to supplement internal resource	4	2	8		Jill Craig	Mar-14

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7. Information & Customer Access - Service provision may fail and be unable to deliver product either internally or to key partner (Police), public demands for product copy under DPA or FoIA will not be met. CCTV does not operate as a cohesive service nor is there a corporate strategy within which to operate. Funding is not guaranteed and comes from a basket of sources not all of which cater for capital and revenue. Key manager has recently left leaving the service dangerously exposed. A mixed of technical platforms including one which is effectively end of life and is unreliable.	Technical support of critical Highways and Community Safety reliant services would be unavailable • CCTV System coverage would start to fail leaving “black holes” across the city • Unaccpetable redction to or loss of security management service Housing tower blocks • Police operational coverage demands funded under partnership working agreements would be undeliverable	HoS is being freed up to set in place robust management solution. Negotiations commenced with key partner Divisions. Service management and technical support structures currently being reviewed. Extensions to current technical platform supplier contracts negotiated to provide headroom for preparation of a single platform solution tender. Changing profile of service use demand has been identified and is being explored to identify the basis for a more appropriate line of command	5	3	15	Paper to obtain Executive agreement to direction of travel being prepared. • Monitoring staffing levels being examined • Management structure proposals being prepared • Funding envelopes being identified • Corporate Strategy to be prepared and agreed • Technical platforms re-tender being prepared and other contracts being examined for greater exploitation	3	2	6		Jill Craig	Jul-14

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8. Human Resources & Workforce Development - 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
9. Property - 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	30/04/2015 and then ongoing, subject to 6 monthly reviews.

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10. Property - 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. Manage tenants in arrears.	3	4	12	Staff time	Mark Lloyd	30/04/2015 and ongoing
11. Property - BCM re Asbestos	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	30/04/2015 and ongoing

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12. Property - BCM re 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 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	30/04/2015 and ongoing

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13. 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	Final consultation is in progress - ends 17 April 2014.
14. Care Services & Commissioning (ASC) - Quality of care provision in the council's residential homes 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 team. This is in addition to CQC inspections.	5	2	10		Tracie Rees	31 March 2015 and ongoing
15. Care Services & Commissioning (ASC) - Failure to maintain quality, safe services	Reduced quality, safeguarding, staff sickness	Addecco 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 Addecco 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 2015 and ongoing

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16. Care Services & Commissioning (ASC) - Failure to carry out effective statutory consultation will result in financial and reputational damage to the council.vices 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 2015 and ongoing

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17. Care Services & Commissioning (ASC) - 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 Programme 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 Unions, 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	2015/16 based on a phased approach.

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18. Delivery, Communications and Political Governance UNPLANNED ELECTION EVENT The service may struggle to manage a number of unplanned, additional elections, as well as a number of different type of elections e.g. House of Lords, Referendums etc.	Elections not performed appropriately/ challenges are received Reputation damaged Adverse effect on finance Media coverage Public complaints Increase in resource requirement A number of elections are planned for 2015 reducing the capacity for staff to absorb unplanned elections	Returning officer and nominated deputies are in place. - Insurance is in place. - Many elections can be planned and have set dates. Those dates which have been communicated have been planned during 2014.	4	4	16	Need to identify and break down the critical activities and align these to the relevant staff, should the event of restricted resources occur. Match/Map these to required expectations. - Ensure that there is a robust planning support structure in place. Develop a potential 'business continuity plan' to build resilience and stability. - Use external or peer support where feasible e.g. from other local authorities. - Consider training/upskilling a pool of contingency staff. - Review further as a management team. (Actions required to maintain risk score)	4	4	16		Miranda Cannon	Jun-14

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19. Delivery, Communications and Political Governance - STAFF CAPACITY & CAPABILITY - Skill shortages - Currently there is a lack of business expertise and experience within the Council. Furthermore there is a lack of available resources within the market place making it difficult to recruit which may leave posts vacant resulting in reliance on existing staff	Increase in key person dependency and increased dependency on line managers to deliver a number of technical capabilities. - Lean staffing structures. - Critical expertise cannot be found. - 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.	Exploring/started implementing options to work collaboratively. - HR strategic work programme, which incorporates a number of pillars such as process, knowledge, key dependency, absence etc. This is supported by work to develop an approach and culture around service redesign and transformation - Some areas have commenced skills matrix working. - 'Unofficial' secondments within marketing and comms have been created to support sharing of skills and expertise. - Internal jobs market initiative - Workforce planning function is in place and work has commenced with managers to prepare and raise awareness of the role	4	4	16	- Further secondments and matrix management to share skills and expertise - Ensure staff engage and connect fully with service transformation and ensure that objectives are met and quality is delivered. - Raise Managers awareness to allow them to recognise importance of organisational transformation in their role.	3	3	9		Miranda Cannon	Jun-14

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19. Delivery, Communications and Political Governance STAFF CAPACITY & CAPABILITY - Continued	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. - In the area of business resilience, the loss of staff may mean that there is limited expertise/skills to support the business resilience programmes. - Limited resources are available to deliver fire, manual handling training.	- Internal audit are utilised to review processes where available. - Policies and procedures are in place. - Use of graduate and other entry level roles to bring in additional capacity - HR framework and management tools are in place and presented to Management.				- Workforce planning/succession planning to understand impacts of loss of staff and key roles in terms of service delivery and value. This should include more formalised and centralised workforce planning to minimise key person dependency (matrix working etc.) - Consider methods of measuring staff engagement and satisfaction e.g. surveys, diagnostic approach. - Further engagement with youth/apprentice programmes. - More collaboration and connectivity across service areas. - Strive to gain greater support to achieve better compliance.						

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20. Delivery, Communications and Political Governance LEGAL CHALLENGE Increased legal challenges may heighten the need to ensure that processes are effective, efficient, communicated in a uniform manner and that managers and staff follow explicit guidance. EIAs are likely to become an increasingly targeted area for Legal Challenge.	Communications are not performed in a uniform manner, not consistently worded, communicated or the tone are appropriate, leading to legal challenge. - Equalities Impact Assessments due to constant changes and/or lack of centralised guidance around legislation give rise to non compliance. - Lack of legal expertise/appropriate resources. - Potential for legal challenge by providers, staff etc.	Internal audits and assessments (EIAs) are performed to help ensure the Council meets the Public Sector Equality Duty. - On-going reviews of guidance and legislation are conducted. - Processes and procedures in place. - Staff are aware of duties and responsibilities. - Expert support eg HR, equalities, CPMO in place.	4	4	16	Build organisational consulting and communication strategies. - Review processes and gap analysis to explore the exposure. - Review external practice eg from other Local Authorities, which have been deemed as best practice and implement locally as appropriate. - Ensure the correct resources, with the relevant skills and experience are allocated to roles. - Ensure HR support is available.	4	3	12		Miranda Cannon	Jun-14

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21. Housing - 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.	Higher numbers of tenants in rent arrears leading to loss of rental income will adversely affect the HRA income. Could lead to greater number of evictions.	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. Amending Allocations policy to advise downsizing	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	31.09.2014

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22. Learning Services - 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. Difficult to maintain an overview of Children /young people that the LA continue to be responsible for	School improvement strategy and LA support plans S2S partnership are in place.	4	5	20	Targeted support packages in place for schools in scope for conversion. Half termly progress checks through team around the school meetings	4	4	16		Margaret Libreri	Review 31.03.2015 and Ongoing
23. Learning Services - Leicester could be subject to a targeted OfSTED inspection with multiple inspections across schools followed by LA inspection.	LA can provide evidence to support positive outcome but resource demands would be significant	School improvement reserve budget	4	4	16	Provide training/briefings on new framework for schools. Offer ' healthchecks to schools due Ofsted as part of risk- management process	3	4	12		Margaret Libreri	Review 31.03.2015 and Ongoing

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24. Learning Services - SEND Services - Risk of not meeting the individual needs of pupils with SEND. Introduction of new SEN legislation impacting on LA ability to control SEND needs led budgets. Pressure on specialist places in Early Years/primary due to population increase	Loss of education Pupils not achieving their potential due to lack of support. Litigation from parents/former pupils. Dissatisfaction of parents/CYP . NEET levels rising – increasing possibility of criminal activity. Danger of big increase in independent SEND school places impacting on SEN budgets	CEIPs/CBii projects addressing mental health needs of CYP proactively. Primary Behaviour Strategy – preventative measures. Redesign of SEN processes in line with new govt proposals through the Pathfinder project for implementation in September 2014. Engagement of schools, families and professionals in changes. Engagement in funding reform proposals both pre and post 16. co operative working with school organisation section. Increase in capacity of City Special Schools through redesign, eg. Ellesmere or mobiles - Oaklands to increase primary specialist provision.	4	4	16	Monitoring of effectiveness of changes to policies, procedures and funding. Joint commissioning strategy with Health and social care to ensure value for money and appropriate/adequate provision for C&YP with SEND. Projects Strategies Constant Review, close liaison with finance section SEND provision added as key strand to pupil place/primary capital planning	3	3	9		Margaret Libreri	Review 30.04.2014 and Ongoing

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25. Public Health - LPT not disaggregating invoices.	Payments may not be made promptly to service providers. Invoices cannot be paid until purchase orders are on the system. Cost allocation into the MI may be slow or incorrect. MI is not sufficient to enable robust and accurate decisions to be made. Risk of overpayment.	Existing financial management process operated by the Council. Results are presented and reviewed through star chambers. Rigorous forecasting arrangements required from period 4 onwards. Although detailed cost centre data may not be available in the short term, high level actual spend to budget will be presented, considered and reviewed monthly. Financial management and reporting process, which incurs challenge and support from the finance function has been in place from August 2013.	3	5	15	1) Continue to speak/work with providers to ensure that the information presented on invoices is sufficient to enable effective analysis and coding by the Finance team. which in turn will enhance the financial management reports. 2) Work with Procurement and Assurance Section to seek way forward.	3	4	12		Rod Moore	31-May-14

