

Appendix 2 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31st January 2015

Risk What is the issue: <i>what 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)			Further management actions/controls required	Target Score with further management actions/controls (See Scoring Table)			Cost	Risk Owner	Review 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 Better Care Fund (BCF) opportunity.	3	3	9		Ruth Lake	BCF plan complete; implementation planning through 2014/15
2. Adult Social Care & Safeguarding - Meet Health & Safety (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	31.03.2015 and ongoing
3. Adult Social Care & Safeguarding - Failure to deliver satisfactory Intermediate care capacity. Ineffective partnership working with Leicester City NHS results in failure to implement new Intensive Care 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 Health & Wellbeing Board as it establishes; establish programme board with Care Commissioning Group input	3	3	9		Ruth Lake	Work will be ongoing throughout 2014 to 2016

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4. Adult Social Care & Safeguarding- Failure to meet legislative duties. Implementation of the Care Bill - risk of financial pressures, risk of operational failure to meet new duties. Significant lack of clarity re policy decisions and of financial allocations being adequate	Unmanaged budgetary pressures; inability to deliver services in line with statutory duties; reputational risks	Programme board arrangements to prepare for implementation of new requirements. East Midlands partnership to share learning; financial and operational project leads	4	4	16	New funding £125k 2014/15 to support capacity	4	3	12	Budgeted for in revenue strategy but subject to national assurance that allocation is adequate	Ruth Lake/ Tracie Rees	30.04.2015
5. Adult Social Care & Safeguarding -Operational capacity Risk of legal challenge / fines from being unable to meet the additional demands arising from Cheshire West judgement on Deprivation Of Liberty Safeguards (DOLS).	Breach of legislation; financial liability re Information Commissioners Office; breach of confidence in the Council	Manager briefings to ensure legal requirements understood; scoping of high risk cases to understand new DOLS cases; prioritisation of action on cases; monitoring of incoming pressures for DOLS team and use of independent Best Interest Assessor capacity; engagement with legal services re Court Of Protection applications and pressures	4	4	16	Tracking of anticipated legal guidance on application of case law in practice; consideration of additional resources	4	3	12		Ruth Lake	31.03.2015 and ongoing

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<p>6. Information and Customer Access Staff: Capacity, capability and recruitment Capacity: There are insufficient resources to meet increase in demands, such as business application outage, application failure etc., due to an already lean structure. Teams are being worked increasingly hard including weekends and out of hours. Staff Retention: With a buoyant market place for the team's skills, staff may seek career progression outside the Council. Formal career progression opportunities may not be available internally. Recruitment: Department requires highly skilled people but applicants may be less likely to apply for jobs at the Council as it may not be seen as the employer of first choice.</p>	<ul style="list-style-type: none"> - Unable to attract high calibre, skilled individuals. - Lack of adequate succession planning in some areas, leading to increased key person dependency vulnerability. - Vital skills and expertise are lost e.g.. Lync, data warehouse. - Vacancies create more workload pressures and impact on the wellbeing of the remaining staff. - Staff more likely to elsewhere as the market picks up, especially as Job Evaluation means people are already being asked to do more for less. - Unable to meet service demand and SLAs and to deliver core services. Reputational damage. 	<ul style="list-style-type: none"> - On-going review with HR to ascertain options. Options such as graduate recruitment being investigated and implemented where appropriate. - Training, motivation, internal career development to retain and develop staff. - Market increments for key posts (although this hasn't helped to attract applicants to recent posts). - Undertaking succession planning and knowledge sharing as much as possible. - Documentation to reduce dependency on key individuals - Approval to recruit two apprentices and another graduate. - Recruited a Graduate. - Overtime payment and TOIL where appropriate. - Third party support contracts - Application made for De Montfort University graduates for Info Gov & Mgt 	4	4	16	<ul style="list-style-type: none"> - Consider up skilling/cross skilling the Team to increase scope of roles etc. - Work with HR to address particular concerns. - Succession planning, shaped by skills matrix. - Apprenticeships and graduate schemes for regular input of new talent/skills. - Capture and more proactively manage service demand. - Implement formal out of hours procedure. - Review technology architecture to remove any unnecessary complexity and reduce dependency on hard to source skills 	3	4	12		Jill Craig	31.03.2015

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<p>6. Information and Customer Access - Continued</p> <p>Key person/team dependency: Reliance on key people/teams, for e.g. Transformation Team, Finance (Agresso) to deliver the service may leave, or could be on long term absence.</p> <p>Structure/Role coverage: There is no formal out of hours service in place to support services, which operate out of Council hours, such as evenings and weekends. Some needs met by goodwill.</p>						<ul style="list-style-type: none"> - Review existing support contacts to ensure we understand what maintenance support is offered and that we're making best use of these arrangements. - Embed new senior management arrangements. 						

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7.Information and Customer Access Finance and budget - impact on ability to meet Council requirements On-going pressure to reduce costs within the council which is impacting on the service capacity.	- Continued cuts lead to not enough people to deliver the service - Service demand may not be met - Targets and deadlines may be missed, e.g. delivery of new programmes and business solutions. - Loss of front line productivity across the Council as services are not available when needed.	- Engaging with the review of IT services to ensure there is a clear understanding of the services provided and the potential impacts of major service cuts. - Raise profile and demonstrate value of the team and the need for specialised resource.	4	4	16	- On-going existing actions.	4	4	16		Jill Craig	31.03.2015
8. Information and Customer Access Capacity and Service Reporting Across the estate, the utilisation of application and network related hardware may not be fully understood.	- Reputational damage - Service delivery may not be met - Effect on available resources i.e. budget and staff if unplanned upgrades required - Negative effect on productivity - Affects ability to plan	- none noted currently (Tools are available but not being used)	3	5	15	- Maximise use of available tools - Develop framework/guidelines for operating procedures	2	4	8		Jill Craig	31.03.2015

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<p>9. Information and Customer Access Information Security The information and IT security environment is changing rapidly, altering the risk profile and requiring constant adjustment of controls e.g.. Challenges of cloud computing, use of mobile devices for flexible working, bring your own device). It is challenging for central IT and information services to evolve infrastructure, policy, practice and guidance to keep up, and for the wider employee base to adapt their working practices to keep the organisation's information secure. In addition, requirements for national Code of Connection compliance also change over time, placing new security demands on the organisation. Failure to stay on top of security risks presents the risk of information security breaches.</p>	<ul style="list-style-type: none"> - Information security breaches in which personal and/or sensitive Information is compromised. - potential for Data Protection monetary penalties, negative press coverage, reputational impact. - Impact on individuals (employees, service users, citizens) of their Information being compromised, including distress or damage such as identity theft and reputational impact. - Reduced trust in the Council, impacting on its ability to deliver key services - Lost productive time due to IT downtime 	<ul style="list-style-type: none"> - IT security provisions including encryption, firewalls, virus protection, Secure Socket Layer connections where needed, access control. - Security standards, policies and procedures, maintained, proactively communicated and published for universal access. - Dedicated security roles undergoing professional development. - Assurance routes via 1. Work to obtain and maintain PCN accreditation, 2. Internal audit, 3. Information Governance Toolkit. - Information and IT security are integral to IT procurement exercises, helping to ensure that software and hardware procured offer good security. - Technical Information Security Group to raise security issues, address concerns, track implementation of internal audit recommendations. - New approach to reporting on uptake of Data Protection 	4	4	16	<ul style="list-style-type: none"> - Keep controls up to date to respond to evolving threats. - Increase manager awareness of the negative impact of staff change etc. on security awareness and capabilities. - Adjust security provisions to meet the next year's Public Service Network requirements. <p>NB: in a changing context, controls need to evolve to maintain the risk exposure at the current level and prevent it from increasing. Therefore, only a limited risk exposure is anticipated.</p>	4	3	12		Jill Craig	31.03.2015

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<p>10. Information and Customer Access Demand and change management</p> <p>There is no clear demand pipeline especially around project related activity, which means it is difficult to plan staffing, prioritise and manage workloads etc. There is no Target Operating Model, so that service level expectations/outputs and deliverables are not always clear and not delivered upon under a uniform agreement across the business. In some instances, the least relevant priority is dealt with rather than the most significant. This is exacerbated as there is currently no consistent way to capture and manage Business Application support and demand. ICT cannot provide the additional flexibility, complexity and time/resources required by rising customer expectations.</p>	<ul style="list-style-type: none"> - Improvements are not made to processes and procedures. - Inefficient and/or ineffective operations are in place. - Internal reputation impacts. - Demand may not be met. - Service delivery affected. - Incidents are not appropriately identified and rectified. - Increased reliance on IT staff rather than departmental self-sufficiency. - Increased demand on ICT resources. - Supplier response times and deadlines to rectify fixes/changes are lengthy and not always a priority. 	<ul style="list-style-type: none"> - Tactical improvement actions and plans have been identified and are in the process of being implemented. - Gateway process in place - Organisational restructure has been suggested and is being considered. - Business Continuity Management arrangements under review. 	3	5	15	<ul style="list-style-type: none"> - Implement holistic Disaster Recovery Plan. - Confirm roles and responsibilities. - Ask services to involve the customer services team in the planning/phasing/releasing of information etc. - Intended focus on more long term and forward planning. - Consider establishing a demand team (as part of the Methods review) 	3	5	15		Jill Craig	31.03.2015

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10. Information and Customer Access Demand and change management - Continued	<ul style="list-style-type: none"> - Contract arrangements do not include performance targets, turnaround times SLA information etc., the Council is unable to hold them to account. - Data could be lost/unable to be restored - Delays in projects, tasks and assignments. - Adverse effect on budget. 				- Unlikely to be able to influence this risk in the near future as fundamental organisational change is required, so management actions are to maintain status quo and prevent the risk worsening.							

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11. Information and Customer Access Impact on record keeping from use of shared drives and email Information on line of business systems including the Council's EDRMS can be more robustly managed than that on email and shared drives. Email has become the predominant means of business communication BUT this means that records of Council activities and decisions are stored in Outlook rather than systems where they can be sufficiently protected, findable and available as Council records. Shared drive management is also problematic . Many teams do not have a mature shared drive structure in place, and structures are sprawling. Some officers do not have access to shared spaces, only to individual Home drives.	-Excessive IT overhead from backing up and keeping available huge volumes of data, a proportion of which is redundant. - Business impact of not seeing the wood for the trees, where documents and files are accumulated to excess without consistent filing practices, naming conventions and disposal routines, and where defunct materials are still cluttering up drives. - Potential inability to access corporate records in personal storage locations without the presence of specific members of staff. - Potential loss of corporate records when employees leave the organisation and have used personal not corporate filing.	- Policies in place (e.g. Information Management Policy, Records Retention Schedule). - ICT induction briefly addresses email management and filing systems. Being reviewed now so there are stronger messages about managing content. - Information Management Team advising teams on an ad hoc basis re good records practice. - Guidance written on a shared drive refresh process - being tested with Children's Centres. Will enable a scaling up of assistance to services. - Draft guidance in place for driving down email volumes. In testing.	3	5	15	- Enterprise Content Management project to enable teams to review their saved content, to organise it and to cut it back to the necessary. - Relaunch of Information and Records Management policies. - Rollout of information management training for managers. - Improved induction training for information management. - Integration of IM skills into wider courses where appropriate. - Create a self service information and records healthcheck helping services to prioritise addressing weak areas (Jan-Mar 2015)	3	4	12		Jill Craig	31.03.2015

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11. Information and Customer Access Impact on record keeping from use of shared drives and email - Continued Even where well designed filing structures are in place, electronic disposal of records at the end of their lifetime is usually not taking place, leading to accumulation of materials.	- The accumulation of past materials impedes effective working on current issues. - Potential for the Council to be unable to locate the evidence it may need for its decisions and actions. - Increased overhead of responding to FOI requests.					- The success of the above controls is conditional on effective communications and strong buy-in cascaded across the organisation from senior management down. - Progress is also currently impeded by limited staff resources in Information Management. Restructure underway to increase skilled						

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<p>12.Information and Customer Access Information Governance compliance Key areas of risk are: flexible working practices which expose data to new risks, inappropriate disclosure of personal data, insecure and excessive information sharing externally and internally, lack of universal participation in Information Governance training, lack of awareness of the compliance and enabling role of Information Governance and failure to comply with the Regulation of Investigatory Powers Act 2000. (Also see corresponding risks around Data Protection and Freedom of Information compliance.)</p>	<ul style="list-style-type: none"> - Data may be lost or shared inappropriately. - Potential legal challenge. - Breaches in regulation/legislation, which may incur fines, reputational damage and negative media coverage. - Local breaches are not reported to the Information Governance Team until a compliant arises. There may be a number of unreported information governance breaches which are unreported and being managed at a local level. - Subject Access Requests: this area has failed in compliance in 2013, and could fail again in the future. 	<ul style="list-style-type: none"> - Policies and procedures in place e.g. security, retention and disposal. - Devices are encrypted. - Staff are briefed on Information Governance compliance and asset management. - Improvement plan identifies necessary procedural updates etc. - Good liaison with Information Commissioner's Office and increased visibility and compliance. - Regular reports to Directors on the importance of Information Governance compliance. - Staff are required to complete Information Governance training on induction and all staff were asked to complete 	4	5	20	<ul style="list-style-type: none"> - Requirement for all to complete annual Information Governance awareness training should be enforced. - Introduce a self-service Information Governance health check for Managers to check their team's compliance and identify their own improvement actions. - Information Governance issues to be addressed more consistently in contracts outside IT Procurement (where this is systematic). 	4	3	12		Jill Craig	31.03.2015

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12.Information and Customer Access Information Governance compliance - Continued		<ul style="list-style-type: none"> - LCC submissions to the NHS IG Toolkit provide a health check on Information Governance policies and systems. - Self service IG Healthcheck tool for managers has been drafted. Next stage is testing. <p>NB staff turnover and high rates of change are increasing the Council's exposure to risk here.</p>				<ul style="list-style-type: none"> - Need for services facing high staff turnover to prioritise Data Protection and security training to maintain capability levels. <p>NB: in a changing context, controls need to evolve and be constantly refreshed to maintain the risk exposure at the current level and prevent it from increasing. Therefore, no reduction in risk exposure is anticipated.</p>						
13. Schools Capital. Raising educational achievement -The discontinuation of PCP (reduction in capital investment) and the continuing need to accommodate pupil increases.	A Statutory duty is not met	Delivery of Basic Need Programme to address pupil placements required by September 2015.	4	4	16	Continued assessment & development across the Primary School estate.						

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14. 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.	Develop long term strategy across the Primary School estate	4	4	16	Develop long term strategy across the primary school estate	4	2	8	Staff time	Mark Lloyd	Review 6 monthly
15. Property - Maintaining Income (Capital and Revenue) on behalf of the Council	Economic downturn affecting budget	Voides and arrears monitored Monthly .	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
16. Property - Business Continuity Management 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 Corporate Management Team if cause for concern. 3. Action plan works now completed, signed off by Health & Safety and now being monitored.	5	3	15	1. Ensure 100% compliance with asbestos returns with accurate data by holding Building Responsible Officers 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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17. Property - Business Continuity Management 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 Corporate Management Team (CMT) 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 subject to Corporate Management Team decision. 3. More rigorous audit of Building Responsible Officer monitoring to be undertaken.	3	2	6	Staff time	Mark Lloyd	30.04.2015 and ongoing

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18. Property- Delay and compensation event claims are received leading to extensive costs.	Contingency held to address unforeseen issues may be overspent	All claims are monitored and are challenged using internal and external resources. Continued dialogue with the Finance Team to monitor the financial position.	5	4	20	Review meeting established with the contractor and information being sought to substantiate claims with the assistance of a programme analyst and specialist advisors	4	3	12	Contingency provision is over subscribed	Mark Lloyd	30.04.2015 and ongoing
19. 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 place via Adult Social Care contracts and assurance team. This is in addition to Care Quality Commission inspections.	5	2	10		Tracie Rees	31.03.2015 and ongoing
20. Care Services & Commissioning (ASC) - Failure to maintain quality, safe services	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	2	3	6		Tracie Rees	31.03.2015 and ongoing

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21. 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	Stakeholder engagement strategy in place and we always seek advice from legal services and corporate consultation team. Legal services sign off all consultation materials and agree the approach and methodology.	5	1	5	A Judicial Review legal challenge could cost the authority several millions if the methodology used by the Council is not robust	Tracie Rees	31.05.2015 and ongoing

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22. 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. Delay to implementation will impact on budgeted savings. Legal challenge arising from TUPE consultation impacts on project delivery	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. Phase 1 sales of Cooper and Abbey will complete 2nd February 2015. Disposal of Douglas Bader is 09/01/15, Nuffield 10/01/15, Elizabeth House 15/01/15	A Programme/Project Board which will report to the Corporate Programme Management Office has been established to implement the Executive decision over 3 years	4	4	16	Care management teams to support and inform residents and carers. Deliver to project timescale and provide Executive with clear advice to support speedy decision making. Ensure effective TUPE process and an employment lawyer and HR to be part of implementation team.	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. Elizabeth House closed April 2014, Nuffield House closed June 2014. Abbey and Cooper House sold due to transfer February 2015

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Risks as at: 31st January 2015

Risk What is the issue: <i>what 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)			Further management actions/controls required	Target Score with further management actions/controls (See Scoring Table)			Cost	Risk Owner	Review Date
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23. Care Services & Commissioning (ASC) - Implementation of the 5 Year Leicester, Leicestershire and Rutland (LLR) Better Care Together Plan carries high financial and political risk	Financial impact/legal challenge	An LLR Programme Board has been established that includes health and social care chief officers	5	4	20	An LLR Programme Board has been established that includes health and social care chief officers	3	3	9	Operational and cost implications still to be determined - should be known by 2014	Tracie Rees	2014 to 2019

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24. Care Services & Commissioning (ASC) - Non implementation of the Care Act 2014	High financial risk and operational non compliance	A Programme Board has been established that will report to the Corporate Portfolio Management Office (CPMO) Project leads confirm that delivery of change is on track for compliance by 01/04/15	5	3	15	A Programme Board has been established that will report to the CPMO. Project work streams designed to deliver compliance	3	2	6	Full costs are still to be determined - financial assessment in progress. National, regional and local work taking place to forecast increased demand.	Tracie Rees	2015/2016
25. Care Services & Commissioning (ASC) - Non Implementation of the Care Act Inability to deal with increased demand for assessment and support planning	Deterioration of operational performance reputational impact and customer impact	Staff training to reinforce eligibility criteria Demand modelling carried out but this can only give an indication of what might happen	3	5	15						Tracie Rees	31/03/2015 and ongoing

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26. 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.	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.	4	4	16		Miranda Cannon	01/03/15 and ongoing

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27. Delivery, Communications and Political Governance - ELECTIONS 2015 Insufficient skilled and number of staff to assist in the delivery of the 2015 Elections	<ul style="list-style-type: none"> - Elections are not performed appropriately/challenges are received. - Reputational damage. - Adverse effect on finances. - Media coverage. - Public complaints. - Increase in resource requirements. - A number of elections are planned for 2015 reducing the capacity for staff to absorb unplanned elections. - Could lead to increased expectations on the existing trained core team; who hold relevant and detailed knowledge. - The potential repetition of the impacts and pressures that arose during the 2011 elections. 	<ul style="list-style-type: none"> - Risk log and project plan in place and planning work commenced at an early stage. - Core election planning team involving relevant expertise eg HR, training, ICT, comms along with electoral services staff meeting regularly to plan - Lessons learnt from previous elections reviewed and factored into current planning - Training undertaken by the core team 	4	4	16	<ul style="list-style-type: none"> - Continue regular planning meetings and review the project plan, risk log and issues log each time. Ensure mitigating actions for risks are acted upon. - Put in place a robust event management plan. Consider major potential issues such as evacuation and security measures early on. - Continue to draw in wider expertise from across the council 	4	2	8		Miranda Cannon	01/03/15 and ongoing

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28. 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 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 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. - Statutory/regulatory requirements may not be adhered to and deadlines breached. - Reputational damage.	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. Training on this is being put in place and delivered - Some areas have commenced skills matrix working. - Talent Match (Internal jobs market) is being planned rolled out	4	4	16	- Further secondments and matrix management to share skills and expertise. Continue to deliver the HR strategic work programme. - 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.	4	3	12		Miranda Cannon	31.12.2014

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<p>28. Delivery, Communications and Political Governance - Continued</p> <p>INCREASE IN DEMAND There maybe an increased demand for support of which available expertise is limited. Therefore, support services such as Human Resources (HR) may not be able to meet expectations or deliver to the right level of quality.</p> <p>POLITICAL EXPECTATIONS - Members and politicians may have differing expectations in terms of service delivery and priorities resulting in conflict and a lack of clarity</p>	<ul style="list-style-type: none"> - 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. - Long term absence may lead to claims. - Corporate memory diminishes when staff leave the Council. - Potential lack of staff engagement/connectivity in the resourcing requirements etc. - Highly skilled technical roles cannot easily be filled 	<p>Workforce planning function is in place and work has commenced with managers on future workforce planning including targeted work in areas with specific difficulties eg children's social care.</p> <ul style="list-style-type: none"> - Internal audit are utilised to review processes where available. - Policies and procedures are in place. - Continued use of graduate and other entry level roles to bring in additional capacity <p>Work underway to put in place an organisational vision and values for the workforce and a supporting programme of staff engagement.</p>				<ul style="list-style-type: none"> - Consider methods of measuring staff engagement and satisfaction e.g. surveys, diagnostic approach. More rigorous exit interview approach is being developed to gather staff feedback 						

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28. Delivery, Communications and Political Governance - Continued APPROPRIATE SUPPORT/ADVICE AND ADHERENCE BY LINE MANAGEMENT - Support services provide policies, procedures and frameworks for managers and staff to work within but these may not be implemented consistently or in the way they are intended by managers, or advice may not be sought in a sufficiently timely manner, resulting in poor and risky management practices.	<ul style="list-style-type: none"> - 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 or effectively and/or changes may be made prior to all parties consent. 				<ul style="list-style-type: none"> - Further engagement with youth/apprentice programmes and ensure the experience of those undertaking placements / programmes is collated - More collaboration and connectivity across service areas. - Strive to gain greater support to achieve better compliance. - Continue to roll out the workforce planning approach across all areas. Ensure locally that succession planning is considered in 1:1s with Team Managers. 							

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29. 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. Equalities Impact Assessments (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. - EIAs due to constant changes and/or lack of centralised guidance around legislation give rise to non compliance. - Lack of legal expertise/appropriate resources.	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, consultation and research, CPMO in place with supporting guidance. - Lessons learned/changes arising from any challenge outcomes continue to be communicated and use of external panel to review EIAs for spending reviews / budget - EIA templates recently reviewed and revised	4	4	16	- Continue to build organisational consulting and communication strategies. - Review processes and gap analysis to explore the exposure. - Review external practice e.g. 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	01/03/15 and ongoing

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30. Housing - Impact of Welfare Reform on Housing Rents Account (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 (CUBA) with tenants., Focus Supporting Tenants and Residents (STAR) team support on those affected. maximise the number of tenants claiming Discretionary Housing Payment 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 Payment. 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 Credit Union Budget Account.	4	3	12		Ann Branson	30.11.2015 and ongoing

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31. Learning Services - Schools in Ofsted categories or below floor standard converted to academies by order of the secretary of state.	Schools no longer Local Authorities (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. School2School partnership are in place. Performance dialogue meeting between School Improvement Advisor and school leadership teams for every school in the City. Support and challenge is provided in inverse proportion to need.	4	5	20	Targeted support packages in place for schools in scope for conversion. Half termly progress checks through team around the school meetings Whole school reviews for those schools that are Requires Improvement or in Special Measures - outcome reported to governors and local authority	4	4	16		Margaret Libreri	Review 31.03.2015 and Ongoing
32. Learning Services - Leicester could be subject to a targeted Ofsted inspection with multiple inspections across schools followed by Local Authority (LA) inspection.	LA can provide evidence to support positive outcome but resource demands would be significant. Major issue about credibility of service which could increase the number of schools changing to academy status	School improvement reserve budget	4	4	16	Positive response to recommendations identified in peer review completion of a detailed Self Evaluation Form leading to a revised school improvement strategy. Close work between LA Officers, DFE & Ofsted representation to manage RI/SM schools	3	4	12		Margaret Libreri	Review 31.03.2015 and Ongoing

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<p>33. Public Health - Data Access and Sharing - Unresolved issues in national guidance on this matter. Pseudominised Hospital Episode Statistics data for 10 years has not yet been released to us. No current access to birth and deaths (temporarily withdrawn) and risk will be there depending on how long Office of National Statistics takes to approve permissions. Regarding data from General Practitioners (Systemone)the requirements for a data agreement with all data owners. This process is complicated and detailed. Current access through Greater East Midlands Community Support Unit has not yet been activated for testing.</p>	<p>Offer a limited services in terms of core offer and other analyses required.</p>	<p>Audit Information Governance within Division to support move to Information Governance Toolkit Level 3 Division of Public Health is at Information Governance Toolkit Level 2. Awaiting national decisions ether within the Department of Health, NHS England, Health and Social Care Information Centre and or the Information Governance Officer. Application made for births and deaths data.</p>	5	5	25	<p>More timely data being released nationally on line (aggregated - does not support analysis at lower level). Maintain Information Governance Toolkit Level 2 and work to Level 3. Awaiting national decisions either within the Department of Health, NHS England, Health and Social Care Information Commissioner and/or the Information Governance Officer (secondary care data). Follow up application to Office of National Statistics. Information agreements being drawn up for specific projects (for primary care data) Continue to chase</p>	5	4	20		Rod Moore	31.03.2015

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34. Public Health- Capability and Capacity- Recruitment of staff with special knowledge and expertise	Potential future succession planning issues. Less effective commissioning of specialist programmes Contracts are procured without the correct expertise/knowledge resulting in corrective action of legal costs. Agency and temporary staff to cover - additional costs	Adherence to Local Government Association/Public Health England guidance relating to recruitment of staff Job description written in a relevant way to attract target applicants. Pay scales broadly similar to National Health Service/market force.	4	4	16	Engage with Human Resources colleagues to understand and put in place steps to shape our recruitment offering to entice high calibre, relevant etc. candidates in future recruitment and enable successful succession planning Inc. protection of National Health Service pension arrangements Regarding the Consultant post job offer, in the interim a market increment will be applied for to ensure posts can be advertised closer to former NHS levels. In the longer term a higher substantive banding for the role will	4	4	16		Rod Moore	31.03.2015

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35. Public Health- Clinical Governance - There is currently a lack of clinical governance at a corporate level within the Local Authority. The Director of Public Health (DPH) has an assurance role, however, the depth and levels of assurance allowing them to discharge their duties is currently unclear. In addition, to perform a robust assurance programme over all of the DPHs accountabilities would require significant investment/resource.	Potential risks to patients and the public. Quality of services may not be robust. Possible failure of external reviews/appraisals. Reputational Damage. Increase in costs.	-Clinical Governance Group has been set up to review and implement an effective clinical governance process etc. - Existing arrangements with stakeholder/providers; such as Clinical Commissioning Group, Leicestershire Partnership Trust etc. who are required to deliver clinical governance assurance. Contracts in place are based upon the National Health Service model and require an element of clinical governance to be adhered to and some assurance presented.	5	3	15	Continual on-going stakeholder engagement and development of existing and future relationships. Interim Clinical Commissioning Group in place as recipient of all Clinical Governance issues in Local Authority. Clinical Governance group reports quarterly to Divisional Management Team. Framework for Clinical Governance adopted	4	3	12		Rod Moore	31.03.2015

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36. Public Health Insufficient funding transferred to the LA on 1 October 2015 to meet the full cost of the School Nursing Service. Agreement has not been reached with NHS England regarding the level of resource to be transferred	Increased costs to the local authority Reputational risk through the LA being forced to reduce service levels to meet unfunded costs	- Health Visiting Transfer Group with LA has considered the issue and worked with NHS England to clarify scope and funding. On the advice of this group the City Council (along with Leicestershire and Rutland County Councils) has not signed-off the estimates provided by Public Health England. Detailed reasons have been submitted to NHS England.	5	4	20	No apparent controls available at this stage '- Local Government Association is representing on issue nationally Awaiting response through NHS England Area Team or directly from NHS England nationally at this stage. Final decisions about allocation will be made by the Department of Health	5	4	20		Rod Moore	30.03.2015
37. Public Health Public Health Performance Monitoring -Divisional performance issues not addressed	Reduction in the delivery of services to the public -Failure to meet previously specified plans and commitments '-Population health impacts	-Reporting the key issues from the performance review meetings at Lead Member briefings, along with recommendations to address poor performance where identified -Regular directorate performance review meetings established	4	4	16	Seek to improve monitoring systems	4	3	12		Rod Moore	30.03.2015

