

Appendix 2 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 30th April 2016

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			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
STRATEGIC AREA - Adult Social Care												
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 submit April 2016 on track
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	31.03.2017 Ongoing
3. Adult Social Care & Safeguarding - Failure to meeting statutory need; keeping people safe - Difficult financial climate; complexities with funding arrangement; integration and pooled budgets - risk of inadequate resources to meet need	ASC overspends; Insufficient resources to meet need; Vulnerable people not receiving sufficient care packages resulting in legal challenge and increase in complaints.	Robust mechanisms (such as Resource Allocation System) to ensure resources matched to eligible needs to protect funding; budget monitoring; demand monitoring; use of Better Care Fund (BCF) programme to plan for new funding arrangements and requirements.	3	5	15	Further work on BCF to protect social care services and promote efficiencies across the Health & Social Care system. Work to review packages of care to maximise resources for those at greatest need. Delivery plan now in place - to be progressed over 15/16.	3	4	12		Ruth Lake	31.03.2017 Ongoing

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4. 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. Ensure time is built into each review, development of all strategies etc. to allow for consultation.	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. Officers to seek guidance from the corporate consultation team when needed. Judicial review found in favour of Leicester City Council.	4	3	12	Pot Multi £M	Tracie Rees	31.05.2016 and ongoing
5. Care Services & Commissioning (ASC) Quality of care in the Independent regulated services including; residential homes, domiciliary care and supported living providers falls below standards	Detriment (harm) to individuals, groups or the Council (financial or reputational)	High level Audit processes in places via Adult Social Care contracts and assurance team. This is in addition to Care Quality Commission inspections.	5	4	20	Quality Assurance Framework to be used to support identified failing providers. Risk Management process in place to identify appropriate action to be taken in the event of failing providers.	5	3	15		Tracie Rees	31.06.2017 Ongoing
6. 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		Tracie Rees	01.01.2019

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<p>7. Care Services & Commissioning (ASC) - 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). Risk re capacity to effectively scope the new DoLs cases; challenge from practice in care homes in applying DoLs via urgent applications in inappropriate circumstances</p>	Breach of legislation; financial liability re ICO; 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. Additional resources agreed for recruitment via budget setting	4	4	16	Tracking of anticipated legal guidance on application of case law in practice; consideration of additional resources to support scoping exercise as this has not been completed due to lack of resources / competing priorities. Meeting with legal services to assess position / agree actions to mitigate risk 24 March. Issue to be escalated to Leadership Team. Further work via NHS England Mental Capacity Act project and HOS to address care home practice which is exacerbating the volume and timescales risks	4	3	12		Tracie Rees	31.03.2017 Ongoing
<p>8. Care Services & Commissioning (ASC) Review of Residential Care. Financial risk - largest area of spend and danger of inappropriate models of care.</p>	Continued escalation of spend; inappropriate placements	Project Board in place; extensive research, analysis and engagement	4	4	16	Robust governance through project board, Commissioning Board and Lead Member Briefing	3	3	9	Current spend £44M gross	Tracie Rees	TBC

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9. Care Services & Commissioning (ASC) Extra Care and Supported Living Developments Impact of the loss of exemption from the Local Housing Allowance for this type of provision.	Inability to develop extra care and supported housing as the market unable to make sure developments viable as a result of this exemption.	Awaiting government announcement. Discussion with the market	4	4	16	To explore options to develop options not reliant on the LHA cap	4	3	12	Loss of capital funds for ASC developments		31.07.2016
10. Care Services & Commissioning (ASC) - Supported Living Procurement Potential challenge from the market in relation to the rates offered and ability to meet National Living Wage (NLW) requirements.	Potential high court challenge and reputational risk to the authority.	Discussion and agreement with Legal, Procurement and Finance approach to pricing envelope is robust and in line with NLW.	4	4	16	To mitigate through the procurement exercise with specific reference to the NLW in the documentation.	3	3	9	Cost of possible JR damages	Tracie Rees	31.10.2016
11. Care Services & Commissioning (ASC) Non compliance with our duties under the Equalities Act. Failure to adequately identify and address (where possible) equality impacts of proposed actions.	Council could face legal challenge through judicial review	Equality impact assessments (EIA) are built into service reviews, strategy developments and decision making which help to identify equality impacts and actions to be taken.	5	3	15	Ensure all staff are fully aware of when to use EIA's and build this into their routine work (when necessary). Training to be offered through Better Care Together.	5	2	10	Pot Multi £M	Tracie Rees	31.03.2017 and ongoing
STRATEGIC AREA - City Development and Neighbourhoods												

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12. Housing - Impact of Welfare Reform on Housing Rents Account (HRA) rental income collection and supported housing. 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. Further welfare cuts in 2015. Summer budget will reduce tenants income. Impact of welfare reform on supported housing will mean less income to the general fund. Also affects adults social care support to sheltered housing. Reduced income to the general fund. Will affect all new tenancies after 2016	On-going promotion of Clockwise 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. Amended Allocations policy to assist downsizing	4	4	16	Development of Northgates IT system (phase 2) to support paperless direct debits. Mandatory direct debits or Clockwise accounts for New tenants has been implemented. Introduced pre-tenancy determinations interviews to collate financial information prior to tenancy sign up. This is a risk mitigation exercise to help identify tenants that require extra help to manage their finances /budget Smarter ways of working being developed including self serve , use of QR scanning, mobile technology to help mitigate risk to reduction in rent collection due to welfare cuts.	4	3	12		Chris Burgin	31.07.2016 and ongoing

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13. Housing - Risk of Legal challenge, liability and reputational consequence if properties are not adequately maintained. Greater financial investment needed in the future. Rent reduction of 1% per annum for next 4 years will threaten budget for maintenance.	Poor living conditions, H&S risks to tenants, properties falling into disrepair. Reputational risk	On-going capital investment (25 year strategy and planned maintenance programmes). On-going day to day responsive repairs service. Minimum standard for property re-letting. In house Quality Control team. Continue to review more effective ways of maintaining the stock.	5	3	15	Reviewed Jan 2016. No further actions/controls required. Spending review phase 3 will identify how to keep spending within reduced budgets.	5	3	15		Chris Burgin	31.03.2017
14. Estates & Building Services - Lift Condition Assessment - Asset Capture	Continued failure of assets - run to failure - ad hoc capital required to make good - less reliable assets and more entrapments. Lift users may be compromised in terms of access/egress/mobility - as per the Beatty Ave experience	formatting a proposed capital programme of works - based on engineers submissions - (Zurich and LES) - ready in December 2015. Lack of internal staffing resource and excessive external consultative cost are prohibiting progress	5	5	25	Budget being sought to recruit an internal engineer to form a capital programme. Housing capital scheme (£900k) being managed by FM staff. New tender to be posted for a further scheme.	5	5	25	Staffing (£40k per annum) on revenue budget in M/E team	Wayne Antoine	3 year plan

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15. Estates & Building Services - 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. To date claims have been settled where they are justified and claims with inadequate information or inaccuracy rebutted. Information is still not forthcoming from GT.	4	3	12	Contingency provision is over subscribed	Wayne Antoine	31.03.2017
16. Estates & Building Services - 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.	4	3	12	Staff time	Wayne Antoine	30.09.2016 then review 6 monthly

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17. Estates & Building Services - 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 and retained secondary school estate is now underway, Condition surveys being undertaken in order to formulate a 3 year programme of works for Planned Capital Maintenance which is to be reviewed on an annual basis in accordance with priority/need.	4	2	8	Staff time	Wayne Antoine	30.09.2016 then review 6 monthly
18. Estates & Building Services - Maintaining Income (Capital and Revenue) on behalf of the Council -Schools gaining Academy status	Reduction on Capital & Revenue funding as schools receive monies directly from central government.	Help manage and support the schools through this process.	4	4	16	Look to provide traded services for schools to opt into as a long term strategy.	4	4	16	Staff time	Wayne Antoine	31.03.2017
19. Estates & Building Services - Loss of use of Asset	Closure of buildings due to asbestos	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	Wayne Antoine	31.03.2017

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	Closure of buildings due to poor water hygiene standards	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				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.						

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<p>20. Local Services and Enforcement - LACK OF ADEQUATE RESOURCE CAPACITY</p> <p>Increase in the demand led services, along with the reduction in head count could mean that there are insufficient resources to deliver the required service levels.</p> <p>During times of change, staff are not always aware of the changes being made, such as the recent relocation requirements, needs and</p>	<p>- Teams already at a minimum and extra workloads are unsustainable.</p> <p>- As demand-led services increase, workload and public expectations increase.</p> <p>- Likelihood of key person dependency as teams reduce further (fewer people in key roles).</p> <p>- Potential risk of non-compliance or breaches/lack of a substantial control environment.</p> <p>- Service delivery requirements not met.</p> <p>- Staff wellbeing may be harmed.</p>	<p>- Existing prioritisation arrangements are in place.</p> <p>- Policies and procedures are in place.</p> <p>- Processes are in place.</p>	4	4	16	<p>- Review of succession planning is to be conducted.</p> <p>- Need to assess the service demand against the resource availability to understand impacts and generate action plans.</p> <p>- Develop further prioritisation arrangements.</p> <p>- Continually assess through performance appraisals and individuals one-to-ones.</p>	3	4	12		John Leach	31.03.2017

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<p>21. Local Services and Enforcement REDUCTION IN INCOME GENERATION PROGRAMMES With reductions in public demand in building, parking, licencing, income generated by the Council may be significantly reduced and income generation/revenue targets may not be met. Also, 'one off' income programmes are set as recurring within the budgets/accounts; impacting further on future financial targets.</p>	<ul style="list-style-type: none"> - Budgets are not adhered to. - Income streams continue to reduce (e.g. Building Regs) due to the economic climate. - Targets remain the same or increase, against income sources and staff reductions. - One off income is disclosed as recurring, increasing the savings gap. 	<ul style="list-style-type: none"> - Budgets are in place and alternative savings option appraisals are performed and saving plans are implemented. - Policies and procedures are in place. - Adhoc business development arrangements are in place. 	3	5	15	<ul style="list-style-type: none"> - Need to review income targets for recurring and 'one off' income with finance to resolve on-going issues. - Enhance the business development resources/opportunity. - Budget strategy review. - Service review/impacts. - Further marketing and promotional projects. 	3	4	12	N/A	John Leach	31.03.2017 Ongoing

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22. Local Services and Enforcement RESOURCE & CAPACITY - INCREASED WORKFORCE AGE PROFILE Specialist skills and knowledge within the team may be lost due to future retirement programmes. Furthermore, national surveys have identified a lack of aspiration in individuals (younger generation, female workforce and some ethnicities) wishing to join the Council within these roles.	- Teams already at a minimum number and extra workloads may be unsustainable. - Likelihood of key person dependency as teams reduce further (fewer people in key roles). - Potential non-compliance with legislation/regulation. - Potential stress-related absence/claims. - Quality of service delivery may be affected.	- "Step up" - work experience utilise. - Graduate project officers. - Training & Mentoring - Knowledge sharing	3	5	15	- Succession planning review is required. - Continue to enhance and develop the apprenticeship scheme. - Commence positive promotion of the work/career in this area. - Seek funding for apprenticeship. - Ensure knowledge sharing takes place. - Training/ Mentoring/ Structuring.	3	4	12	N/A	John Leach	31.03.2017 Ongoing
23. Local Services and Enforcement ASSET CONDITION Condition of buildings creating risks to service delivery and individuals (in certain circumstances)	Building/service closures Insurance claims against the council Reputational damage to LCC	- On going review and inspection of building in-house and is liaison with Property services - Building conditional surveys reviewed under the TNS Programme	5	3	15	Building reviewed under TNS Condition surveys commissioned and review to address key issues	3	3	9		John Leach	
STRATEGIC AREA - Corporate Resources and Support												

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<p>24. Delivery, Communications and Political Governance - UNPLANNED ELECTION EVENT</p> <p>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.</p>	<ul style="list-style-type: none"> - Elections not performed appropriately/challenges received. - Reputational damage. - Adverse effect on finances. - Media coverage. - Public complaints. - Increase in resource requirements. - Could lead to increased expectations on the existing trained core team; who hold relevant and detailed knowledge. - The potential repetition of impacts and pressures that arose during 2011 elections. 	<ul style="list-style-type: none"> Returning officer and nominated deputies are in place. - Insurance is in place. - Many elections can be planned and have set dates. - May 2015 elections enabled newer members of the core team to develop further skills and experience in specific aspects of the elections process - Electoral Commission guidance gives detailed support in the planning and management of each specific type of elections 	4	4	16	<ul style="list-style-type: none"> - Develop skills and expertise across the wider electoral services team. - 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/up-skilling a pool of contingency staff. - Review further as a management team. <p><i>(Actions required to maintain risk score).</i></p>	4	4	16		Miranda Cannon	31.03.2017 Ongoing

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<p>25. 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.</p>	<ul style="list-style-type: none"> - Communications are not appropriate (present the right information, performed in a uniform manner, not consistently worded, communicated or the tone are appropriate), leading to legal challenge. - Equalities Impact Assessments cannot address all potential areas of legal challenge on Public Sector Equality Duty grounds. - Lack of legal expertise/appropriate resources. - Potential for legal challenge/judicial review by providers, staff, service users, etc. - Reputational damage/media exposure. - Unplanned adverse effect on budget/finance - Resource intensive to defend legal challenges/judicial reviews. 	<ul style="list-style-type: none"> Equality Impact Assessments (EIAs) are performed to help ensure the Council meets the Public Sector Equality Duty (PSED). - On-going reviews of outcomes of other PSED challenges inform our approach to demonstrating compliance with our PSED, and lessons from these shared / communicated and used to revise our approach where appropriate. - Processes and procedures in place. - Staff are aware of duties, responsibilities and relevant considerations required to demonstrate compliance with PSED. - Expert support e.g. HR, equalities, consultation, CPMO in place with supporting guidance. Equalities e-learning module developed and being rolled out. - EIA process (what needs to be considered when) and EIA templates recently reviewed and revised. 	4	4	16	<ul style="list-style-type: none"> - Continue to review external practice e.g. from other Local Authorities and partners, 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. - Implement agreed actions in relation to strengthening evidence based decision making including use of data and research 	4	3	12		Miranda Cannon	31.06.2016

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25. Delivery, Communications and Political Governance - LEGAL CHALLENGE - Continued	<ul style="list-style-type: none"> - Unrealistic public/political expectations. - Procurement process may be challenged. - Legal challenges focus on process rather than content. 	<ul style="list-style-type: none"> - Equality checklist for different stages of capital projects being developed so that equalities considerations at each stage are recorded and signed off - Council EIA template being used for Health & Well Being Board reports and also for Better Care Together reports, standardising our approach with partners particularly in Health sector. - Work underway to further develop internal skills and capacity in relation to robust evidence based decision making 										
26. Finance - Financial challenges - the Council fails to respond adequately to the cuts in public sector funding over the coming 4 - 5 years.	Council is placed in severe financial crisis. Reputational damage to the Council and substantial crisis job losses. If the process is not properly managed, the Council will have little money for anything but statutory 'demand led services'.	Budget balanced in 16/17. Work taking place on spending review programme which aims to save up to £45M per annum. Further savings will also be required. £8m service transformation fund.	5	4	20	Budget strategy being revised to meet expected budget gap in 2019/20. Heavy involvement of City Mayor in ensuring spending review programme delivers. Additional contribution to service transformation fund in 2016/17 budget.	5	2	10		Alison Greenhill	31.03.2017 and every year end.

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<p>27. 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>	<p>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. - Use of available business tools limited by rollout capacity e.g.. the corporate EDRMS. - 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 service Level Agreement and to deliver core services. Reputational damage.</p>	<p>- 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 Montford Uni interns for Info Mgt.</p>	4	4	16	<p>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</p>	3	4	12		Alison Greenhill	31.12.2016

Appendix 2 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 30th April 2016

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 controls (See Scoring Table)			Cost	Risk Owner	Review Date
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<p>27. Information and Customer Access - Continued 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. 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"> - Adverse effect on budget e.g. development may need to be outsourced at a significant cost. - New business solutions will not be developed internally or may not be completed to schedule. - Support of existing business systems may prove difficult. - Greater reliance on costly third party support. - Transformation Team's saving target of £1.73m by 2015 may not be met. - Payments/cash not processed in time. - Reduced staff goodwill affects ability to respond to situations over and above core business as usual activity and meet expectations of the wider Council. 				<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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<p>28. Information and Customer Access Information Security</p> <p>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 - 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 Public Service Network accreditation, 2. Internal audit, 3. Information Governance Toolkit. - Information and IT security are integral to IT procurement exercises, to ensure that software and hardware offer good security. - Technical Information Security Group to raise security issues, address concerns, track implementation of internal audit recs. - New approach to report on uptake of Data Protection training to support managers in compliance - targeting Children's Services first 	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. - Invest in SIEM toolset 	4	3	12		Alison Greenhill	30.06.2016

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29. Information and Customer Access Capacity and Service Reporting Across the estate, the utilisation of application and network related hardware may not be fully understood.	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - Maximise use of available tools - Develop framework/guidelines for operating procedures 	2	4	8		Alison Greenhill	30.06.2016

Appendix 2 - Leicester City Council Operational Risk Register

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<p>30. 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		Alison Greenhill	30.09.2016

Appendix 2 - Leicester City Council Operational Risk Register

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Risks as at: 30th April 2016

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 controls (See Scoring Table)			Cost	Risk Owner	Review Date
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
30. 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. 					<ul style="list-style-type: none"> - 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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31. Legal - 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.)	<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 complaint 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 briefed on Information Governance (IG) compliance and asset mgmt. - Improvement plan identifies necessary procedural updates etc. - Good liaison with Information Commissioners Office (ICO) and increased visibility and compliance. - Regular reports to Directors on the importance of IG compliance. - Staff are required to complete IG training on induction and all staff were asked to complete training in 2013. - Leicester City Council submissions to the NHS Information Governance Toolkit provide a health check on IG policies and systems. 	4	5	20	<ul style="list-style-type: none"> - Requirement for all to complete annual IG awareness training should be enforced. - Introduce a self-service IG health check for Managers to check their team's compliance and identify their own improvement actions. - IG issues to be addressed more consistently in contracts outside IT Procurement (where this is systematic). - 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.</p>	4	3	12		Kamal Adatia	31.03.2017 Ongoing

Appendix 2 - Leicester City Council Operational Risk Register

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Risks as at: 30th April 2016

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
31. Legal - Continued		- Self service Information Governance Healthcheck tool for managers has been drafted. Next stage is testing. NB staff turnover and high rates of change are increasing the Council's exposure to risk here.				Therefore, no reduction in risk exposure is anticipated.						
STRATEGIC AREA - Education and Children's Services												
32. Children's Social Care and Early Help-Improvement - Changing for the better LCCIB Improvement Plan -Budget Pressures on the divisional budget	Services to vulnerable children, young people and families would be reduced and affect safeguarding of children, and potentially have an adverse impact on delivering the Leicester City Council Improvement Plan	Deliver savings as part of the reviews taking place across LCC, including Education & Children's with clear explanations of the potential risks and impact. Deliver savings to meet the budget pressure within the CYPF Division	5	4	20	Identify further projects to ensure delivery of savings, assess impact and agree any further mitigating factors	4	4	16		Caroline Tote	31.03.2017

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Requirements to reduce public sector funding affect the Council's ability to fund key areas of improvement work	Workforce continues to be in flux and subject to high turnover, which impairs consistent service and increases risks for vulnerable children and young people. Insufficient funding in local authority and partner services to deliver improvement work and maintain level of Early Help and statutory services.	Priorities for short and long term funding of improvement work are being considered by senior managers and elected members. Proposed savings in Early Help services are currently being developed in consideration of Leicester City Council 2015/18 budget. Impact on services to Children young people and families is being assessed as part of savings proposals. Pressures on the Out of Authority placement and increase in Looked After Children (LAC) numbers beyond allocated budget. Funding of two PA's for over 16's and retention payments for social workers and team managers in front line teams already agreed. Advanced Practitioners appointed	5	4	20	Further consideration of other identified improvement areas to be discussed. Further areas of the Resource Plan under consideration Quality Assessment post to be advertised in September	4	4	16		Caroline Tote	31.03.2017
Increase in number of children looked after results in overspend, compensatory savings have to be made in other services	Reduced Early Help Services, resulting in less early intervention and higher numbers of children and families escalating to higher levels of need, putting additional strain on Children's Social Care budget.	Targeted work to safely and appropriately reduce the numbers of children in care and monitor the numbers of children requiring high cost externally commissioned placements. Further work to be carried out to consider future commissioning arrangements for young people who are victims of CSE.	5	4	20	Examination of existing controls, including social work practice, decision making, work to address young people on the 'edge of care', placement commissioning and exits from care.	4	4	16		Caroline Tote	31.03.2017

Appendix 2 - Leicester City Council Operational Risk Register

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
Cost of agency social workers, including staffing over capacity, and interim staff working on improvements results in overspend, compensatory savings have to be made in other services	Increase in overspend, due to the higher costs of agency workers; and additional staff to carry out improvement work, reduce caseloads and ensure capacity to carry out key jobs is in place	Workforce Strategy sets out plans to attract permanent staff to Leicester and retain incoming and existing staff. Strategy includes progression and workforce development. Regular monitoring of staff appointments to agency posts.	5	4	20	Continued work on recruitment, retention and induction. Focus on recruitment of permanent Team Managers.	4	4	16		Caroline Tote	31.03.2017
Permanent staff absence (sick leave, maternity leave, disciplinary action) results in higher costs because of the need to pay agency worker	Regular monitoring of staff performance, and absence.	Continuing to take a robust approach to managing staff absence and reduce the amount of time that is lost due to sickness.	4	4	16	Children in Need (CIN) Attendance management-briefings for all CIN managers at induction and dedicated HR support put in place to support management of absence management	4	4	16		Caroline Tote	31.06.2016
Staff leave, resulting in the need to fill posts with agency workers	Additional expenditure on agency staff. Loss of experience and continuity.	Workforce Strategy developed and being implemented. Use of agency staff to fill vacant positions while permanent recruitment takes place. National and regional problem of availability of experienced social workers and Team Managers is impacting on LCC.	4	4	16	Ensure progression in place for experienced workers following appointment of new Team Managers. Individual discussions with staff wanting to progress, or dissuade them from leaving.	4	4	16		Caroline Tote	30.09.2016 ongoing

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33. Children's Social Care and Early Help - Safeguarding Publication of Serious Case Reviews for cases that occurred in 2013/14	Impact on staff morale, engagement with vulnerable families, partner confidence and public reputation	Serious Case Reviews not yet published, first set due for approval December 2015; second set in January/February 2015. LSCB partner agreement and media engagement about the messages to be released. Themes and actions arising from pre-publication messages already included in Improvement Plan, or being communicated separately to staff.	4	5	20	Work through LSCB groups to disseminate messages from the Serious Case Reviews.	5	4	20		Caroline Tote	24.06.2016
Abuse or injury to children in a range of care placements	Children would be unsafe and have experienced significant harm while in the Council's care.	Ensure maintenance of robust safer recruitment processes and Local Authority Designated Officer arrangements.	5	4	20	No further controls identified. Compile and monitor critical Young people identified as being at risk of CSE	5	4	20		Caroline Tote	30.09.2016 ongoing

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Staff fail to recognise and act to safeguard and mitigate the risks of significant harm to children	No interventions where action needs to be taken, interventions that do not make enough difference to children's lives, an increased risk of significant harm, and/or an avoidable child death.	<p>Agreed improvement plan in place, being implemented and monitored, including all Ofsted recs</p> <ul style="list-style-type: none"> • Additional short term CIN Team in place to increase capacity • Early Help Offer re-launched with training for staff/ partners • Thresholds documents re-launch • Weekly CIN Performance meetings to look at key performance areas and spot checks on identified areas • Team Manager training to reinforce management oversight • Distribution of agreed Service Standards across the Children's Workforce • External audit of Ofsted cases • Workforce Development Programme with aim of attracting workers to Leicester City, retention programme, growing own social workers and stabilising workforce • Revised supervision and case recording policies <p>* External auditors feedback on cases with recommendations for improvement</p> <p>* Feedback to CIN Service about outcomes of Ofsted support visit with actions to address</p>	3	5	15	<p>Further Implementation of the Leicester City Children's improvement plan including:</p> <ul style="list-style-type: none"> • Quality Assurance work by external auditors used to drive up practice and management standards, and enable managers to carry out realistic, robust audits • Principal Social Worker to be appointed to improve practice standards • Outcomes of, and learning from, Serious Case Reviews to be communicated to staff, including recommendations on practice and management work with partner organisations to ensure application of the LLR thresholds, reduce inappropriate contacts and referrals and ensure sufficient detail is given to enable robust decision making. * Appointment of 9 Advanced Practitioners (non-case holding) to take on supervisory and quality assurance functions across CIN and LAC 	3	4	12		Caroline Tote	31.09.2016 and ongoing

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Practitioners and managers do not work to required standards	Poor quality, inconsistent service to children, young people and their families, and increased risk of significant harm	<p>Weekly performance meetings in CIN</p> <ul style="list-style-type: none"> • Quality Assurance work by external auditors in conjunction with social workers and team managers, with immediate corrective action for cases identified. • Reports produced on 'Practice Analysis with results of the Quality Assurance work. • Workshops for all social workers and team managers on the outcome of the Practice Analysis in June 2015 • Workforce Development Programme in place * Briefings and rollout implementation of the Service Standards, Supervision Policy and Guidance and the Performance and Quality Assurance Framework * External auditors feedback on cases with recs for improvement * Feedback to CIN Service about outcomes of Ofsted support visit with actions to address areas needing improvement * Induction programme in place 	3	5	15	<ul style="list-style-type: none"> • Implementation of the improvement plan including: <ul style="list-style-type: none"> • Use established frontline (practitioner) Group as 'Champions' • Practice and performance quarterly workshops for all staff • Continued implementation of the Workforce Improvement Plan including recruitment, retention and induction of agency and permanent staff and action to reduce imbalance of agency Team Managers to permanent Team Managers * Equipping social workers with appropriate mobile technology * Business Analysis of the critical area (CIN teams) 	3	4	12		Caroline Tote	30.09.2016

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Abuse or injury to children and young people in the City.	Children would be unsafe living with their parents. Where known to Children's Social Care or Early Help, services would not have protected them. Where a child suffered significant harm or death, there could be a Serious Case Review, with outcomes published nationally.	Implementation of Improvement Plans at Operational and Strategic Level. Recruitment of staff. Staff training. Supervision and management oversight.	3	5	15		3	4	12		Caroline Tote	30.09.2016

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Child Sexual Exploitation: Non-recent cases of CSE where police investigation and/or victims statements demonstrate local authority involvement or culpability in failing to protect victims. Current work on CSE where local authority/partnership working have failed to protect young people from perpetrators	For non-recent and current Reputational risk in a high profile area Allegations against staff or former staff Media coverage Claims against the Council	For non recent cases. Local authority engagement with police in non-recent investigations. For current work. CSE Strategy and Action Plan in place across Leicester, Leicestershire and Rutland Leicester Safeguarding Children Board (LSCB). Training for local authority and partner agency staff provided through the LSCB and single agency training. Communications Planning. Liquid Logic workspace in place from July 2015. Problem profile (perpetrator information) being put into place by the police. Performance Framework being established. LCC considering budget allocation to establish a CSE team in conjunction with Leicestershire.	3	5	15	CSE Team to be established. Audit work being carried out on young people who are 'missing' or subject of CSE, to be completed by October 2015 and actions considered. Plans for a multi-agency team across Leicester, Leicestershire and Rutland to work on CSE Work to ensure more robust approach	3	5	15		Caroline Tote	30.09.2016
Increased demand for service following the publication of the Ofsted report; or due to increasing population of the City	Higher numbers of contacts and referrals diverts core role of social workers to increase time pressures to potentially affect quality of work with children at higher risks of neglect and/or abuse.	Regular checks on demands for Early Help and Children's Social Care through performance information	3	5	15	Continue to monitor, raise with partners through LSCB Examine through Children's Trust and consider multi-agency solutions Encouraging schools to buy in Family Support work	3	5	15		Caroline Tote	30.09.2016 ongoing

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34. Children's Social Care and Early Help - Workforce - Staff fail to recognise and act to safeguard and mitigate the risks of significant harm to children -Insufficient high quality workforce at practitioner and manager levels including: • Turnover/retention of agency staff • Poor quality agency staff • Current Permanent staff leaving • Difficulty in recruiting permanent staff to Service Manager, Team Manager and Social Worker posts due to pressure to perform to required standards • Practical problems that affect day to day work • Leicester not able to attract staff while 'inadequate'	De-stabilisation of workforce and a ripple effect from CIN Teams to other teams in social care. New agency staff struggle to pick up cases that have been through several interim social workers causes stress to new staff	Retention package has been approved • Additional CIN team in place to reduce pressure points across the 9 CIN teams • Workforce Improvement Plan in place • Implementation of recruitment and retention aspects of the Workforce Strategy and Improvement Plan • Health check by Liquid Logic Original Suppliers • Contact with Other LAs successfully using Liquid Logic *Workforce Project Officer working in collaboration with the service to recruit agency and permanent staff *Non-compliant or poor quality agency staff asked to leave *Capability/disciplinary action in relation to permanent staff *Exit interviews with departing staff *Dedicated HR support to CIN to progress capability/disciplinary action Mobile phones and laptops being supplied to staff. Search for new accommodation under way.	5	4	20	Continued work to implement Service Standards, address key areas of staff performance through management action, follow up findings from Performance and Quality Assurance reports	4	4	16		Caroline Tote	31.03.2017

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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 controls (See Scoring Table)			Cost	Risk Owner	Review Date
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Insufficient high quality workforce in support services resulting in key support functions not being carried out including Business Support, Liquid Logic report writing, Liquid Logic training and floor walking	Key tasks underpinning Improvement Plan not carried out, or delayed due to lack of staff	Continued recruitment of key staff including consideration of secondments * Business Analysis of the critical area (CIN teams) *Roll out of mobile technology to staff	5	4	20	Recruitment of an additional trainer for Liquid Logic, and further work to recruit report writers. Consideration of Business Support functions in business analysis work	4	4	16		Caroline Tote	30.06.2016

Appendix 2 - Leicester City Council Operational Risk Register

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35. Children's Social Care and Early Help - Liquid Logic - Liquid Logic's children's recording system does not work effectively to ensure business processes, support good practice or evidencing children are appropriately safeguarded	Practitioner/manager training does not enhance system use Resistance among some staff hampers the use of the system Due to increased demand for social care requirements from the BAS team (ICT for Liquid Logic), the early help reporting roll out in September is at risk. Change is not embedded and the system is unable to discover where things are going wrong & progress is not being maintained * Turnover of staff prevents effective use of the system * Shortage of training not enabling effective use of system * ICT support for use of system is hampered by insufficient report writers and trainers * Inconsistent use of system leads to errors in recording and performance of system	<ul style="list-style-type: none"> • Health check by Liquid Logic in August 2015 with recommendations communicated in September 2015 * Consequence of Healthcheck remedies will be delayed implementation of LL Version 11 to February 2016 * POD group meets monthly and focusses on LL issues raised by front line staff and managers * Aide memoires issued to staff to assist with use * Training and helpline in place * Priority list in place for LL reports • Contact with Other LAs successfully using Liquid Logic * New staff undergo induction programme including Liquid Logic training. * Floorwalker support ended in May 2015 	5	4	20	<ul style="list-style-type: none"> • Actions taken with provider: <ul style="list-style-type: none"> - Prioritisation and implementation identified through the Health check and for V11 High level project plan to be developed. Recruitment of Liquid Logic report builders and training of others in Performance team to undertake query and report building in Liquid Logic • Task and finish group for Care Plans • Communication Strategy and plan is being developed and used Health check and Implementation of V11 need to be linked to drive efficient use of the system. Single route for agreement of all future work. Trainers under single management. Role of champions to be reviewed. 	4	4	16		Caroline Tote	31.07.2016

Appendix 2 - Leicester City Council Operational Risk Register

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Early Help module system implementation is delayed with governance arrangements not in place, training not available, partners not participating.	Lack of confidence in Early Help Assessment (EHA). Partners not engaging in Liquid Logic training or using the system. Partners not signing Information Sharing Agreement therefore information cannot be shared or partners do not take on the LP role.	Project board meets fortnightly reviewing risks and progress, Risk Assessment in place, data protection guidance drafted, options being explored to include EHA as part of the ISA for LSCB partners.	5	4	20	Allocation of trainers and BAS report writers to the Early Help system through deployment of existing resources and temporary recruitment of additional staff. Discussion at the LCCIB and the Early Help Group of the Children's Trust Board about how to increase the allocation of Lead Practitioners in partner agencies due to take place October 2015.	4	4	16		Caroline Tote	31.07.2016
36. Children's Social Care and Early Help - Inspections Impact of poor outcomes from Ofsted Inspections.	Poor quality, inconsistent service to children, young people and families. Additional expenditure for improvement work. External scrutiny from Ofsted and DfE. Potential difficulty in attracting staff. Reputational damage to the Council.	Ofsted inspection of Children's Social Care under the Single Inspection Framework took place in January/February 2015, report published March 2015, judgement of 'inadequate'. Inspections and monitoring visits of Children's Residential Homes are carried out regularly and tracked through the 'Residential Improvement Plan'. Preparation work in place for inspection of Children's Centres.	4	5	20	Performance and Quality Framework in place. Regular monitoring of performance and quality of service. Meet key targets set by the Improvement board	4	2	8		Caroline Tote	31.07.2016 ongoing

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37. Children's Social Care and Early Help - Early Help - Failure of services and processes to identify and meet the needs of vulnerable young people. Extent and gearing of department budget cuts for 2012-15 compromises operations and generates a higher safeguarding failure.	<ul style="list-style-type: none"> The number of children and young people vulnerable to poor outcomes increases resulting in reduced life chances, subsequent high reliance on specialist high cost services and potentially death. Poorer outcomes overall, children's plans priorities compromised, loss of education, reliance on higher cost services, death etc. Reduced management and admin cover will reduce the capacity of existing staff to complete the data analysis required to identify and track families/children at risk of poor outcomes. * Partners are not engaged with Early Help or contribute to the offer 	<ul style="list-style-type: none"> Early Help and Prevention protocol in place underpinned by the Early Help and Prevention Strategy. Launch of the Early Help Assessment, resources and website (Mar 15) Training programme and comms plan in place Initial stakeholder analysis completed (Jan 15), more detailed one underway (May 15) Partnership Performance Framework drafted and Early Help reports for Safeguarding Effectiveness Group that evidence impact and progress Childrens Centre & Family Support Business Care Project group meets fortnightly to ensure the implementation of recommendations are on track Health Check underway with CYPS, families, staff and partners (May/June) results to be published Aug 15 Increase Traded Family Support services within schools 	5	4	20	Embedding the Early Help Assessment with all service providers including schools. Deployment of newly redesigned Family Support role. Complete identified work post implementation of the review . Task and Finish group to be set up to oversee the implementation of the recommendation of the Business case	4	4	16		Caroline Tote	31.09.2017 and ongoing

Appendix 2 - Leicester City Council Operational Risk Register

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38. Children's Social Care and Early Help - Placements for children and young people who are looked after - Inability to recruit and retain foster carers	Insufficient internal foster care placements leading to greater use of Independent Fostering Agencies and greater cost to the Council.	Targeting resources to focus on mainstream foster carers. Foster carer allowances report to be considered by DMT to review payment. Foster carer scheme for teenagers to be considered as part of an 'invest to save' bid.	4	4	16	Consideration of raising foster care allowances to national requirement. Consideration of teenage fostering scheme.	3	4	12		Caroline Tote	30.06.2016
Inability to find sufficient suitable residential placements for children and young people with complex needs	Insufficient/unsuitable residential care that does not meet children and young people's needs and leads to higher costs for the council and poor outcomes for children and young people. Council's statutory responsibilities as a Corporate Parent are not fulfilled	Management decision making. Placement Commissioning service.	4	4	16	Proposals for invest to save for young people 'on the edge of care'. Increased use of Wigston Lane for young people moving into independence.	3	4	12		Caroline Tote	30.06.2016
39. Learning Services - Leicester City Council reputation / relationships with schools are hindered by the delay in resolving snags and defects items with schools.	Low school engagement in sharing and / or celebrating impact of Building Schools For Future (BSF). Complaints from schools are likely to increase. High project staff turn over impact on schools confidence in LCC resolving snags and defects.	BSF School's in phase 3 to 6 identified as high risks are indicated on internal CPMO report with mitigating actions.	5	5	25	Resource management between property and education to be agreed. Children's Capital Governance to be reviewed to ensure resolution to snags and defects is reported and managed through the system. Clarity to schools provided on escalation route for snags and defects concerns.	5	5	25	staff time	Ian Bailey	31.06.2016 and ongoing

Appendix 2 - Leicester City Council Operational Risk Register

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40. 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 (SEF) leading to a revised school improvement Framework Close work between LA Officers, Department of Education & Ofsted representation to manage RI/SM schools Action plans in place for new teams in the raising achievement service linked to SEF	3	4	12		Ian Bailey	31.06.2016
41. Learning Services - Children's Capital Investment Delayed capital projects disrupts educational improvements in schools	The schools overall time and capacity to focus on educational improvements is reduced and/or comprised building issues and disruption.	LQP services to be targeted where necessary to provide additional educational support and guidance in build delay works. Resolution to relationship and reputational management with BSF schools yet to be finalised.	4	4	16	CPMO reporting to be re-established between property and children's to provide regular update to resolve issues.	3	2	6	Staff time	Ian Bailey	31.06.2016 and ongoing
42. Learning Services School closure required due to significant health and safety snags and defects works incomplete in capital projects. i.e. heating, ventilation, water and fire system failures	Statutory education days in schools for Children and Young People not met	Building Review Groups (BRG) have now ended with BSF schools - further clarity on contract management to be discussed with property.	4	4	16	Resource management plan of snags and defect resolution to be supported in BSF post handover.	4	4	16	Staff time	Ian Bailey	31.03.2016 and ongoing

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43. Learning Services - Loss of contractual BSF knowledge and Intelligence through high staff turnover in project teams leading to poor decisions and non contractual compliance	Resolution to issues delayed. Reactive handover with no record of change, agreement or clarity for schools. BSF staff now in redundancy process and to be brought to an end by March 16.	School have been asked to request BRG reports from BSF project team so that they can take ownership in prioritising issues / actions against education needs. Awaiting final list of issues and snags from property.	4	4	16	Resource management plan of how schools will be supported in BSF post handover to be developed between property and education.	4	5	20	staff time	Ian Bailey	31.06.2016 and ongoing
44. 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.	3	5	15	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 - Regular reports submitted to Divisional Management Team re current position	3	4	12		Ian Bailey	31.06.2016

Appendix 2 - Leicester City Council Operational Risk Register

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45. Strategic Commissioning and Business Development - Safeguarding/ teaching and learning workforce programmes are ineffective and Local Authority has insufficiently trained staff to deliver and manage the range.	Stress management failings, lacks capacity and competency. Potential adverse impact on inspection outcomes.	Work Life Balance policies, and supporting wellbeing website www.childrensworkforce.gov.uk / supporting wellbeing Learning Training & Development Plan refreshed – new Department priority and focus on qualification and safeguarding training.	4	4	16	Management to implement health and safety and wellbeing policies and seek advice and support to mitigate risk of undue stress in the workforce New corporate team to actively engage in implementing workforce strategy and limited strategy and plans.	4	3	12		Frances Craven	31.03.2017
STRATEGIC AREA - Public Health												

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46. Public Health-Claiming Process for GP Providers- The clinical systems used by GP providers to claim payment for public health commissioned services are insufficiently robust to ensure payment accuracy	Service quality could be compromised due to unreliable clinical coding Performance management could be compromised by inaccurate count data Provider loss of confidence in the payment system where there is a disparity between claims and payment Potential financial, legal and reputational risk to the Council	Alternative spread sheet based payment claim system has been introduced Working with contracts team and CCG to provide a verification system for claims External audit of clinical services delivered by GP practices underway for the NHS Health Check Programme	4	5	20	Continue with the audit of specific cases and involve NHS and city council audit and risk staff as necessary; Ensure all steps and actions are documented; Issue of letter to particular 'problem' practices and inform practices in general warning of claiming accuracy and the city councils stance on this Bring forward plan for routine programme of audits; DMT to ensure that there are adequate resources for audit longer term; Regular reports to DMT and DPH. Continue to work with LCCCG and LCC contracts team to support the implementation of robust claiming mechanisms	4	4	16		Ruth Tennant	31.05.2016

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47. Public Health - Data Access and Sharing - 1. Unresolved issues in national guidance on this matter. 2. Pseudominised Hospital Episode Statistics data for 10 years has not yet been released to us. 3. No current access to GEM (SUS Impatient Data) 4. 4)Data from GP (SystemOne)	If unresolved only able to offer a limited services in terms of core offer and other analyses required	Division of Public Health is at Information Governance Toolkit Level 2. Audit Information Governance within Division to support move to IG Toolkit Level 3. Application made and authorisation received from HSCIC for access to HES (liaising with GEMCSU on details). Technical issues of N3 access to GEM/GEMIMA have not been resolved. Data agreement has been signed to make data available via the Risk Stratification project (Adjusted Clinical Groups).	4	4	16	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 N3 issues followed up with IT. There has been partial progress with this but will need escalating. Adjusted Clinical Groups project team established with CCG. Information agreements being drawn up for specific projects (for primary care data).	4	3	12		Ruth Tennant	31.05.2016

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48. Public Health- Capability and Capacity- Cost pressures from the reductions in the public health budget leading to an inability to maintain business continuity e.g.. staff	insufficient capacity to deliver on current and future plans - inability to recruit the required specialist staff - less effective commissioning of specialist programmes which could lead to increased health inequalities incurring additional cost pressures through a need for agency and temporary staff to provide cover for key work areas - lack of the requisite expertise/knowledge in key areas could result in sub-standard services and the unintended consequences that can result from this e.g. poorer health outcomes or an increased risk of legal challenge.	Close monitoring and review of current PH budget Job description written in a relevant way to attract target applicants Planning for the announced future reductions in the PH budget -Adherence to Local Government Association/Public Health England Guidance relating to recruitment of staff. Pay scales broadly similar to NHS/ market forces Engaged with HR 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 Job evaluation complete An interim a market supplement will be applied for to ensure posts can be advertised closer to former NHS levels. In the longer term a higher substantive banding or the role will be sought.	4	4	16	Divisional and staffing review Seek grading scheme beyond market supplements.	4	3	12		Ruth Tennant	31.05.2016

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49. Public Health - Integrated Sexual Health Service There is a continuing risk that the increasing volume will exceed the budget allocation	Could cause financial pressures to PH budget Quality of service could be compromised Potential financial, legal and reputational risk to the Council	Leicester City and Leicestershire and Rutland County Councils have a joint partnership management group who are work closely with the provider. Public Health to analyse reasons for increases and work with CCG to ensure correct treatment and provision in primary care to reduce referral Chlamydia screening programme to be greatly reduced in volume , processes and procedures to be followed may cause issues in primary care	4	4	16	Continued meetings with other commissioners, legal advice sought, action plan to be developed Data awaited from provider	3	3	9		Ruth Tennant	31.05.2016

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50. Public Health - Healthy Child Programming Commissioning - The failure to commission adequate capacity from the Healthy Child Programme may escalate safeguarding issues and increase health inequalities for children and young people in Leicester.	Possible reputational risk through the LA being forced to reduce service levels to meet budget cuts	<p>Procurement options considered and taken to Executive Briefing for decision.</p> <p>Healthy Child Programme Assurance and Development Group established.</p> <p>Appropriate budget and core-offer determined.</p> <p>Healthy Child Programme Review undertaken.</p> <p>Healthy Child Programme Procurement Group established. Extended review with Early Help commenced. Extended discussions with CCG and schools undertaken. Estate costs reviewed. Adequate workforce numbers calculated.</p>	4	4	16	<p>Appropriate budget and core-offer to be determined</p> <p>Safeguarding assurances from provider and CCG needs to be agreed</p> <p>Co-commissioning on certain aspects with CCG to be explored</p> <p>Joint working/integration with Early Help to be agreed</p>	4	3	12		Ruth Tennant	30.09.2016

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51. Transport - Provision of corporate fleet/transport services -Failure to meet safety requirements.	1) Death or serious injury. 2) Unlimited fines under corporate manslaughter legislation. 3) Suspension/loss of Goods Vehicle Operator's Licence resulting in severe disruption to several service areas, reputational damage and cost of tribunal. 4) Prosecution/fines under road transport/traffic and/or H & S legislation	1) Employment of an appropriately resourced professional fleet management team. 2) Fleet maintenance procedures/schedules in place and monitored. 3) Appropriate compliance monitoring procedures in place and monitored ink regular contract meetings and FTA inspections. 4) Fleet replacement policy/programme in place 5) Fleet Forum meetings	5	3	15	1) Introduction of a drivers handbook 2) Introduction of the use of tachographs for certain categories of vehicles 3) Introduction of trackers on all fleet vehicles	5	2	12		Jan Dudgeon	31.09.2016 Ongoing