

Appendix 2 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31st July 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
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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	01.10.2016 ongoing
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 16/17.	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	4	3	12	Pot Multi £M	Tracie Rees	31.03.2017 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	31.03.2017 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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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	- 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
8. Care Services & Commissioning (ASC) Review of Residential Care. Financial risk - largest area of spend and danger of inappropriate models of care.	- Continued escalation of spend - Inappropriate placements	- The project is overseen by the ASC Programme Board	4	4	16	- Robust governance through project board, Commissioning Board and Lead Member Briefing	3	3	9	Current spend £44M gross	Tracie Rees	30.04.2017 Ongoing

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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 (LHA) 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	Tracie Rees	31.12.2016
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 - 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

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STRATEGIC AREA - City Development and Neighbourhoods												
<p>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 .</p>	<p>- Under UC, claimants will receive all their benefits, including housing costs element directly themselves, monthly in arrears. They will have to pay their FULL rent out of this. The biggest 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.</p> <p>- Higher numbers of tenants in rent arrears leading to loss of rental income will adversely affect the HRA income.</p> <p>- Could lead to greater number of evictions.</p> <p>- Further welfare cuts in 2015. Summer budget will reduce tenants income.</p> <p>- Impact of welfare reform on supported housing will mean less income to the general fund.</p> <p>- Also affects adults social care support to sheltered housing.</p>	<p>- On-going promotion of Clockwise accounts with tenants.</p> <p>- Focus STAR team support on those affected.</p> <p>- Maximise the number of tenants claiming DHP for bedroom tax affected cases.</p> <p>- Identify tenants who are over-occupying in order to help with down-sizing.</p> <p>- Promotion/awareness to tenants of Discretionary Housing Payments (DHP).</p> <p>- Income Management team strengthened.</p> <p>- Amended Allocations policy to assist downsizing</p> <p>- Reduced income to the general fund will affect all new tenancies after 2016</p>	4	4	16	- Development of Northgates IT system (phase 2) to support paperless direct debits.	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.	<ul style="list-style-type: none"> - Poor living conditions - H&S risks to tenants - properties falling into disrepair - Reputational risk 	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - 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 Lack of forward planning in terms of planned maintenance and programming change of assets	<ul style="list-style-type: none"> - 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 	<ul style="list-style-type: none"> - Formatting a proposed capital programme of works, based on engineers submissions (Zurich and LES) will be ready in December 2015 - Lack of internal staffing resource and excessive external consultative cost are prohibiting progress 	5	5	25	<ul style="list-style-type: none"> - 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	Matt Wallace	3 year plan 31.03.2017

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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 Galliford Try.	4	3	12	Contingency provision is over subscribed	Matt Wallace	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 2018.	4	4	16	- Continued assessment & development across the Primary School estate.	4	3	12	Staff time	Matt Wallace	30.09.2016 then review 6 monthly
17. 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	Matt Wallace	31.03.2017

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18. Estates & Building Services - Loss of use of Asset	- Closure of buildings due to asbestos	<ul style="list-style-type: none"> - Findings of asbestos action plan being implemented. - Asbestos monitoring returns to be reported to DivMT and Heads of Property quarterly and to CMT if cause for concern. - All buildings constructed before 2000 have an asbestos register - Asbestos removal works at De Montfort Hall planned and being actioned in phases. Temporary containment measures carried out and monitoring ongoing 	5	3	15	<ul style="list-style-type: none"> - Ensure 100% compliance with asbestos returns with accurate data by holding BROs to account - Ensure all buildings have an asbestos register - Capital bid being submitted for this years phase of work, with further bids to be done for remaining phases over the next couple of years. 	3	2	6	Staff time	Matt Wallace	31.03.2017
	- Closure of buildings due to poor water hygiene standards	<ul style="list-style-type: none"> - Implementation of control regime comprising ongoing regular monitoring, reports, risk assessment reviews and maintenance with allocated budgets - Water hygiene monitoring returns to be reported to DivMT and Heads of Property Quarterly and to CMT if cause for concern - Spend of allocated capital budget for water hygiene and production of ongoing prioritised schedule of risk reduction/removal works ongoing - Water hygiene responsibilities in non-op estate (apart from communal areas) have been confirmed in the terms and conditions of the lease and necessary action taken. 				<ul style="list-style-type: none"> - Seek 100% compliance with water hygiene returns with accurate data. - Further budget for 16/17 works in capital programme subject to CMT decision. - More rigorous audit of Building Responsible Officer monitoring to be undertaken 					Matt Wallace	31.03.2017

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19. Management of empty and surplus operational properties - Lack of corporate overview on the management of surplus and vacant operational properties leading to inconsistency in their management with potential detrimental impact	- Potential for buildings to be insecure, vulnerable or non compliant with agreed insurance requirements	- Protocol for managing vacant buildings agreed with insurers	5	3	15	- Review of exiting management arrangements underway with recommendations expected soon to provide consistency and corporate overview of arrangements	5	1	5		Matt Wallace	30.09.2016
20. Local Services and Enforcement - LACK OF ADEQUATE RESOURCE CAPACITY 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. During times of change, staff are not always aware of the changes being made, such as the recent relocation requirements, needs and plans etc., resulting in confusion etc.	- Teams already at a minimum and extra workloads are unsustainable. - As demand-led services increase, workload and public expectations increase. - Likelihood of key person dependency as teams reduce further (fewer people in key roles). - Potential risk of non-compliance or breaches/lack of a substantial control environment. - Service delivery requirements not met. - Staff wellbeing may be harmed.	- Existing prioritisation arrangements are in place. - Policies and procedures are in place. - Processes are in place. - Regular briefings and PDRs	4	4	16	- Review of succession planning is to be conducted. - Need to assess the service demand against the resource availability to understand impacts and generate action plans. - Develop further prioritisation arrangements. - Continually assess through performance appraisals and individuals one-to-ones.	3	4	12		John Leach	31.03.2017

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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.	- 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.	- 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	- 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
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

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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 Transforming Neighbourhood Services Programme (TNS)	5	3	15	- Building reviewed under TNS - Condition surveys commissioned and review to address key issues	3	3	9		John Leach	31.03.2017 Ongoing
STRATEGIC AREA - Corporate Resources and Support												
24. 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 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.	- 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	- 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. (Actions required to maintain risk score).	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>	<p>- 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.</p>	<p>- 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 eg 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 regularly reviewed and revised</p>	4	4	16	<p>- Continue to review external practice eg 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. - Review current Equality and Diversity Strategy and refresh</p>	4	3	12		Miranda Cannon	31.12.2016 Ongoing

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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. - Community engagement fund developed to support work with the VCS in support of meeting our PSED 										
26. Finance - Financial challenges - the Council fails to respond adequately to the cuts in public sector funding over the coming 4 - 5 years.	<ul style="list-style-type: none"> - 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'. 	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - 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 go 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 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: 31st July 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			
<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>	<p>- 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.</p>					<p>- Review existing support contacts to ensure we understand what maintenance support is offered and that we are making best use of these arrangements. - Embed new senior management arrangements.</p>						

Appendix 2 - Leicester City Council Operational Risk Register

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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			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			
<p>28. 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>	<p>- 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</p>	<p>- 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.</p>	4	4	16	<p>- 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</p>	4	3	12		Alison Greenhill	30.09.2016

Appendix 2 - Leicester City Council Operational Risk Register

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Risks as at: 31st July 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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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.	- 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		Alison Greenhill	30.09.2016

Appendix 2 - Leicester City Council Operational Risk Register

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Risks as at: 31st July 2016

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<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

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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. 						
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 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 briefed on Information Governance (IG) compliance and asset mgmnt. - 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. Therefore, no reduction in risk exposure is anticipated.</p>	4	3	12		Kamal Adatia	31.03.2017 Ongoing

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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)										
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
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 2017- 2018 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 LAC numbers beyond allocated budget. - Advanced Practitioners appointed. - Single Assessment Team implemented June 2016.	5	4	20	- Further consideration of other identified improvement areas to be discussed. - Further areas of the Resource Plan under consideration	4	4	16		Caroline Tote	31.03.2017

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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
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	31.03.2017

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Risks as at: 31st July 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
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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	31.03.2017
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	- Two Serious Case Reviews have now been published with clear arrangements in relation to 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. Composite review in relation to three babies has not yet been published due to ongoing police investigations, media planning meeting taking place at the end of August. A further SCR has also been commissioned and agency Independent Management Review's are being progressed.	4	5	20	- Work through Local Safeguarding Children's Board groups to disseminate messages from the Serious Case Reviews.	5	4	20		Caroline Tote	30.09.2016
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.	- Agreed improvement plan in place, being implemented and monitored, including all Ofsted recommendations - Early Help Offer re-launched with training for staff and partners - Thresholds documents re-launch - Weekly CIN Performance meetings to look at key performance areas and carry out spot checks on identified areas of work - 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 - External auditors feedback on cases with recommendations for improvement - Feedback to CIN Service about outcomes of Ofsted support visit with actions to address. - Case progression manager appointed to track outcomes of legal planning meetings. This will ensure that there is a timely response to decision making and to ensure drift and delay in care planning is prevented. - Principal Social Worker appointed April 2016. - Advanced Practitioners appointed July 2016.	3	5	15	Further implementation of the Leicester City Children's improvement plan including: - Quality Assurance work by external auditors used to drive up practice and management standards, and enable managers to carry out realistic, robust audits - 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.	3	4	12		Caroline Tote	31.09.2016 and ongoing

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
Practitioners and managers do not work to required standards	<ul style="list-style-type: none"> - Poor quality, inconsistent service to children, young people and their families - Increased risk of significant harm 	<ul style="list-style-type: none"> - Weekly performance meetings in CIN - 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. - 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 - Induction programme in place 	3	5	15	<ul style="list-style-type: none"> - Implementation of the improvement plan including: - 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 	3	4	12		Caroline Tote	30.09.2016
Abuse or injury to children and young people in the City.	<ul style="list-style-type: none"> - 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. 	<ul style="list-style-type: none"> - 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. - Developing CSE / Missing / Trafficked Hub with Police, LCC, and Health	3	5	15	- Plans for a multi-agency team across Leicester, -Leicestershire and Rutland to work on CSE , Missing and Trafficked to be in place Oct 2016 - 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 from increased 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 - 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 - Non-compliant or poor quality agency staff asked to leave - Capability/disciplinary action in relation to permanent staff - Exit interviews with departing staff - SAT implemented June 2016. - Principal Social Worker in post April 2016.	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
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	30.09.2016

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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 Business Application Support 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 and 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	- 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. - Implementation of V11 July 2016 - Liquid Logic User Group meet monthly	5	4	20	- Actions taken with provider: - 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 - Training Programme being developed to include CP, CIN and LAC. - Champion group being developed linked to the role of the AP (Advanced Practitioner)	4	4	16		Caroline Tote	30.09.2016

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Early Help module system - partners not participating and taking on role of Lead Practitioner.	<ul style="list-style-type: none"> - 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. - Many social workers are still not trained on EHM due to turnover of staff or not attending compulsory briefings, This has led to a lack of information in quality assurance processes and duplication of work. - EHM report are still not accurate with no fixes due to prioritisation of social care requirements. This has led to inaccurate reporting and lack of reports to inform work eg) re-referrals. 	<ul style="list-style-type: none"> - LL User group now in place to deal with business as usual with one external partner represented on this group. - ISA almost complete, one partner still to provide information. 	5	4	20	<ul style="list-style-type: none"> - 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 - EHM briefings to be put on again for SW staff. - Mtg set up with County to look at external EHA processes. 	4	4	16		Caroline Tote	30.09.2016

Appendix 2 - Leicester City Council Operational Risk Register

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36. Children's Social Care and Early Help - Inspections - Impact of poor outcomes from Ofsted Inspections.	<ul style="list-style-type: none"> - 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. 	<ul style="list-style-type: none"> - 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. -Ongoing monitoring visits by ofsted in key areas of identified improvement 	4	5	20	<ul style="list-style-type: none"> - 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	30.09.2016

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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 2017-18 onwards compromises operations and generates a higher safeguarding failure.	- 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	- 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 - Children's 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
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	30.09.2016

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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	30.09.2016
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	- New governance arrangements in place between Children's Services and Property - New Director of Property appointed and in post - Issues will now be managed by the property team and escalated to Capital Board if necessary.	5	5	25	staff time	Ian Bailey	31.12.2016 and ongoing
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	31.12.2016 and ongoing

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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 compromised by building issues and disruption. - Significant reputational risk - Failure to meet statutory responsibilities on school place sufficiency	- New governance arrangements in place between Children's Services and Property - New Director of Property appointed and in post - Issues will now be managed by the property team and escalated to Capital Board if necessary.	4	4	16	- Continuing monitoring by Head of Education Sufficiency and Admissions	3	2	6	Staff time	Ian Bailey	31.12.2016 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 - Appointment of FM lead officer in estates to close out legacy BSF/retained estate issue - H&S management reviewed at departmental H&S committee	4	4	16	Staff time	Ian Bailey	31.12.2016 and ongoing
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. - Appointment of FM lead officer in estates to close out legacy BSF/retained estate issue.	4	5	20	staff time	Ian Bailey	31.12.2016 and ongoing

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44. 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/ 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												
45. 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	- Loss of confidence of GP Providers in payment structure - Risk of overpayment or underpayment by Public Health which would need to be rectified at a later date	- 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	- Audit of Health Checks Programme complete by 360 Assurance - The use of a bespoke audit and payment module to be placed within GP systems is being explored	4	3	16		Ruth Tennant	31.10.2016

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46. Public Health - Data Access and Sharing - Insufficient access to data held by other organisations 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). - ONS have requested further information into special uses of individual level data prior to authorising release of data.	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. - HES data has been authorised and awaiting national decisions from HSOC re warehousing through GEM CSU. - NS issues followed up with IT. There has been partial progress with this but will need escalating to DPH and Chief Operating Officer of Council.	4	3	12		Ruth Tennant	31.10.2016

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47. 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	<ul style="list-style-type: none"> - 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. 	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - Divisional and staffing review - Seek grading scheme beyond market supplements. 	4	3	12		Ruth Tennant	31.10.2016

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48. 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	- Procurement options considered and taken to Executive Briefing for decision. - Final service specification for the new Integrated Healthy Child Programme was sent to partners for comments to assure that gaps in service provision were not inadvertently opened. - Healthy Child Programme Assurance and Development Group established. - Service specification includes a requirement for the provider to be responsible for any costs to the Child Health Information System. - Appropriate budget and core-offer determined. - TUPE questionnaire undertaken. - Healthy Child Programme Review undertaken. - Procurement exercise commenced for an initial 2 year contract with the option to extend to a maximum of 2 years. - 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.	4	4	16	- Procurement exercise being undertaken through negotiated process. - Three organisations have submitted PQQ which have been evaluated and clarification questions have been asked - Supplier event to introduce prospective bidders to voluntary care sector organisations underway. - Procurement Plan in place.	4	3	12		Ruth Tennant	31.10.2016

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