

Appendix 2 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31st January 2017

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
			(See Scoring Table)				(See Scoring Table)				
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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.	<ul style="list-style-type: none"> - Failure against national commitments on integration - Services are not aligned - Financial risk - Conflict between priorities of organisations - Transformation programme targets are not met 	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - Establish clear partnership arrangement to agree and deliver Integrated Care in Leicester - Maximise Better Care Fund (BCF) opportunity. 	3	3	9		Ruth Lake
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.	<ul style="list-style-type: none"> - Ill health or death to residents and/or staff or visitors from water borne infections or poor H&S practices. 	<ul style="list-style-type: none"> - Water hygiene monitoring practice in place 	5	3	15	<ul style="list-style-type: none"> - 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
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	<ul style="list-style-type: none"> - ASC overspends - Insufficient resources to meet need - Vulnerable people not receiving sufficient care packages resulting in legal challenge and increase in complaints. 	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - 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

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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 On going Judicial review found in favour of Leicester City Council.	Tracie Rees
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
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

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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
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

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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
10. 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
11. Care Services & Commissioning (ASC) Provision of statutory service Deprivation of Liberty Safeguards (DOLS)	Assessments not completed within statutory timescales.~ Vulnerable people are placed at risk of abuse ~ People are deprived of liberty unlawfully ~ Court criticism or action ~ Fines ~ Risk of legal challenge ~ Reputation damage	~ Agreed with Leadership to change the prioritisation system with a view to reducing the number of people not seen at least once ~ BIAs are fully staffed ~ Employing services of a barrister	4	5	20	~ Adhere to prioritisation system ~ Monitor and review	4	5	30		Tracie Rees
STRATEGIC AREA - City Development and Neighbourhoods											

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12. Tourism Culture and Arts and Investment - Museums - Loss, damage or destruction of council assets. 2016 : damage to Highcross by Ferris wheel . Break-in at New Walk Museum . 2015 : theft of print at New Walk Museum. Failure to manage environmental conditions causes mould damage to collections. Root problem: Insufficient security measures / lack of planning / budget pressures.	<ul style="list-style-type: none"> - Cost of repairs/replacement costs - Major reputational damage - Risk of litigation - Distress to lenders/donors/owners/staff/public. - Impact on stakeholders and potential funders - possible effect on council's insurance premiums. 	<ul style="list-style-type: none"> -Risk assessments in place. - Seek specialist advice (don't assume anything). -Effective collections management plan in place and disaster/emergency plan specific to museums as well as overall council disaster plans. - Processes and procedures developed including normal operating procedures 	4	4	16	Security review of high value items in collections about to be undertaken. - Options for dealing with environmental issues have not developed further (this now constitutes a serious risk)	4	4	16	Potential storage and security costs being established	Mike Dalzell

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13. 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 2022. Implications of the Housing and Planning Act - Pay to stay, flexible tenancies, sale of high value assets	<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 2015/16.</p> <p>- Extra income generated from increased rent will returned to Government</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>- Mandatory direct debits or Clockwise accounts for New tenants has been implemented.</p> <p>- Income Management team strengthened.</p> <p>- Amended Allocations policy to assist downsizing</p> <p>- 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</p>	4	4	16	<p>- Development of Northgates IT system to support paperless direct debits.</p> <p>- Smarter ways of working being developed including self serve, use of QR scanning and mobile technology to help mitigate risk to reduction in rent collection due to welfare cuts.</p> <p>- Project Planned and resourced approach to communications, effective policy and procedure review and update to meet the needs of the Welfare reform changes and those subject to them. Further work required at 19.01.17</p> <p>After all service improvements mentioned above in place to maximise rent collection for households affected by UC. Further consideration to be given to recruit additional TMO staff (at least 4) to do more intensive work on the cases at highest risk of tenancy failure due to UC and non</p>	4	3	12	Additional cost of Northgate is a combined divisional cost and not identifiable singularly Potential additional cost of staffing to mitigate and identified increase in rent arrears but this is not defined.	Chris Burgin

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<p>14. Housing -Providing thriving, safe communities - Impact of welfare reform on supported housing will mean less income to the general fund. Also affects adults social care support to sheltered housing.</p> <p>Received notification that the 1% rent reduction will be applied to hostels and supported housing.</p>	<p>Reduced income to the general fund. Will affect all new tenancies after 2016</p> <p>Less income to provide services at hostels and supported housing</p>	<p>Housing Transformation Programme Phase 3 set up to deliver HRA and Housing GF savings required this includes the agreed action to decommission internal Supported Housing provision and to service review Hostels landlord and support functions next year. This work will run alongside a full review of the Homelessness strategy that will also feed in to meeting this risk</p>	4	4	16	<p>Executive decision agreed to reduce accommodation based support by the 60 supported housing units.</p>	4	3	12	<p>With the uncertainty of the Supported Housing Model and 1% rent reduction further savings will need to be considered as part of HTP3.</p>	Chris Burgin

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<p>15. Housing - Risk of Legal challenge, liability and reputational consequence if properties are not adequately maintained. Greater financial investment needed in the future.</p> <p>Rent reduction of 1% per annum for next 4 years will threaten budget for maintenance.</p>	<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. - Policies and procedures in place to ensure we continue to be compliant with legislation e.g. for fire safety, water hygiene, asbestos removal - Continue to review more effective ways of maintaining the stock. 	5	3	15	- Identification of fixed costs required to ensure compliance with legislation and to ensure these funding is available for these is future budgets	5	2	10	At current rates we need a minimum spend of £13m to ensure ongoing compliance with legislation.	Chris Burgin
<p>16. Estates & Building Services - Lift Condition Assessment - Asset Capture, Lack of forward planning in terms of planned maintenance and programming change of assets</p>	<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	Lift surveys to be undertaken prior to March 2017	5	3	15	50K to undertake surveys by framework consultant	Matt Wallace
<p>17. Estates & Building Services - Delay and compensation event claims are received leading to extensive costs.</p>	<ul style="list-style-type: none"> - Contingency held to address unforeseen issues may be overspent 	<ul style="list-style-type: none"> - 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	- Claims have to date been contained within budget with 1 final claim to resolve	4	3	12	Contingency provision is over subscribed	Matt Wallace

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18. Estates & Building Services - BSFSnag / Defect Programme - Schools currently have outstanding construction matters which prohibit the issuing of completion certificates	- LCC exposed to risk of system failure or litigation - Delay in programme delivery	Construction phase complete. The programme in now dealing closure of outstanding contractual snag, defects and claims. Internal team established split in three workstreams managed by SA. 1 - Contractual engagement on snags and defects 2 - Delivery of LCC step in actions 3 - EOT contractual claims. External resource provided by MACE to enable delivery of the programme	5	4	20	- Additional external support being sought via Arcadis to enable the close of contracts	4	2	8	Delay in delivery	Matt Wallace
19. 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 both the Primary and retained Secondary School estate	4	4	16	- Condition surveys undertaken and a 1 year programme of planned capital maintenance has been formulated, CMB final approval received Sept 2016. The next phases of the proposed capital maintenance programme will be reviewed on an annual basis in accordance with priority/need allowing for flexibility within the programme.	4	4	16	Staff time	Matt Wallace
20. 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

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21. Estates & Building Services - Loss of use of Asset	- Closure of buildings due to asbestos	- 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	1. The centralisation of property management functions will enable EBS to mitigate risk identified on management plans - Ensure all buildings have an asbestos register	3	2	6	Staff time	Matt Wallace
	- Closure of buildings due to poor water hygiene standards	- 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.				- Seek 100% compliance with water hygiene returns with accurate data. - Further budget for 17/18 works to be in next Capital Bid report - More rigorous audit of Building Responsible Officer monitoring to be undertaken	3	2	6		Matt Wallace

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<p>22. Neighbourhood and Environmental Services - 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 plans etc., resulting in confusion etc.</p>	<ul style="list-style-type: none"> - 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. 	<ul style="list-style-type: none"> - Existing prioritisation arrangements are in place. - Policies and procedures are in place. - Processes are in place. - Regular briefings and PDRs 	4	4	16	<ul style="list-style-type: none"> - 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
<p>23. Neighbourhood and Environmental Services REDUCTION IN INCOME GENERATION PROGRAMMES</p> <p>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.</p> <p>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

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24. Neighbourhood and Environmental Services 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 - Apprenticeship Levy	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
25. Neighbourhood and Environmental Services 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

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STRATEGIC AREA - Corporate Resources and Support											
26. Delivery, Communications and Political Governance - UNPLANNED ELECTION EVENT The service may struggle to manage a number of unplanned, additional elections, as well as a number of different type of elections e.g. House of Lords, Referendums etc.	- Elections not performed appropriately/challenges 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

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<p>27. 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.</p> <p>Consultation approach and EIAs are increasingly targeted areas 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.</p> <p>- Equalities Impact Assessments cannot address all potential areas of legal challenge on Public Sector Equality Duty grounds.</p> <p>- Lack of legal expertise/appropriate resources.</p> <p>- Potential for legal challenge/judicial review by providers, staff, service users, etc.</p> <p>- Reputational damage/media exposure.</p> <p>- Unplanned adverse effect on budget/finance</p> <p>- 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).</p> <p>- 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.</p> <p>- Presentation on Judicial Reviews/legal challenges posted on EIA Interface page.</p> <p>- Processes and procedures in place.</p> <p>- Staff are aware of duties, responsibilities and relevant considerations required to demonstrate compliance with PSED.</p> <p>- Expert support e.g. HR, equalities, consultation, CPMO in place with supporting guidance. Equalities e-learning module developed and being rolled out.</p> <p>- 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 e.g. from other Local Authorities and partners, which have been deemed as best practice and implement locally as appropriate.</p> <p>- Ensure the correct resources, with the relevant skills and experience are allocated to roles.</p> <p>- Ensure HR support is available.</p> <p>- Complete current Equality and Diversity Strategy and refresh</p>	4	3	12		Miranda Cannon

Appendix 2 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31st January 2017

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
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27. 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 - Consultation training with a focus on the legal risks recently undertaken by the Comms and Equalities Teams - Work underway to refresh the Equality Strategy 									
28. 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 17/18. -Further work required to balance the medium term, particularly driving the spending review programme. - £8m service transformation fund. 	5	4	20	Heavy involvement of City Mayor in ensuring spending review programme delivers.	5	2	10		Alison Greenhill

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			(See Scoring Table)				(See Scoring Table)				
			Impact	Likelihood	Risk		Impact	Likelihood	Risk		
29. Finance - Information and Customer Access The Council is at constant threat from malicious hacking or human error.	~ Loss of data or information ~ Loss of access to systems and services ~ Council-wide impact ~ Potential fines, litigation, penalties etc. ~ Impact on data subjects if sensitive information misused ~ Reputation damage	~ Ensure adequate technology is in place to protect the authority. ~ Raise staff awareness ~ Testing procedures ~ Applications kept up to date ~ Processes in place ~ Likelihood of critical systems being affected is low ~ IT security manager post filled ~ PCI scans ~ Penetration testing etc. ~ PSN compliance ~ IT investment is good ~ Data loss prevention activities and mitigations ~ IG team deliver monthly reporting ~ Lessons learnt e.g. from Lincolnshire	5	3	15		2	5	10		Alison Greenhill

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<p>30. 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.)</p>	<p>- 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.</p>	<p>- 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.</p>	4	5	20	<p>- 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. 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</p>	4	3	12		Kamal Adatia

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30. 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)									
<u>STRATEGIC AREA - Education and Children's Services</u>											

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			(See Scoring Table)				(See Scoring Table)				
			Impact	Likelihood	Risk		Impact	Likelihood	Risk		
31. 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
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

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			(See Scoring Table)				(See Scoring Table)				
			Impact	Likelihood	Risk		Impact	Likelihood	Risk		
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 CSF	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 exit	4	4	16		Caroline Tote
Cost of agency social workers, including staffing over capacity, and Permanent staff absence (sick leave, maternity leave, disciplinary action) results in higher costs because of the need to pay agency worker	- Increase in overspend, due to the higher costs of agency workers; and - Regular monitoring of staff performance, and absence.	- Workforce Strategy sets out plans to attract permanent staff to Leicester and retain incoming - Continuing to take a robust approach to managing staff absence and reduce the amount of time that is lost due to sickness.	5	4	20	- Continued work on recruitment, retention and - 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
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

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk		
32. 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	4	5	20	- Work through Local Safeguarding Children's Board groups to disseminate messages from the Serious Case Reviews.	5	4	20		Caroline Tote

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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
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	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	3	4	12		Caroline Tote
Practitioners and managers do not work to required standards	- Poor quality, inconsistent service to children, young people and their families - Increased risk of significant harm	- 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	3	5	15	- Implementation of the improvement plan including: - Use established frontline (practitioner) Group as 'Champions' - Practice and performance quarterly workshops for all staff	3	4	12		Caroline Tote

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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
<p>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</p>	<p>For non-recent and current Reputational risk in a high profile area:</p> <ul style="list-style-type: none"> - Allegations against staff or former staff - Media coverage - Claims against the Council 	<p>For non recent cases</p> <ul style="list-style-type: none"> - Local authority engagement with police in non-recent investigations. <p>For current work</p> <ul style="list-style-type: none"> - 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 workshops in place from July 	3	5	15	<ul style="list-style-type: none"> - 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

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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
33. 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

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk		
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
34. 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

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			(See Scoring Table)				(See Scoring Table)				
			Impact	Likelihood	Risk		Impact	Likelihood	Risk		
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. -V12 upgrade still has many problems, one of them major re: step up to social care when it should be EHA, decision required 28.10.16 re: whether we should upgrade or delay but this will have implications for Professional Portal and DCS pathway, if delayed it will be Mar 17 before we can go live with V12 and 	<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. - LL user group meeting on 27.10.16 to discuss issues from testing with decision made for sign off, this will be discussed with CT. 12 week plan underway working with key partners to review front door arrangements, EH pathway and Police contacts, good progress seeing made. 	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

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			(See Scoring Table)				(See Scoring Table)				
			Impact	Likelihood	Risk		Impact	Likelihood	Risk		
35. 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. - Ongoing monitoring visits by Ofsted in key areas of identified improvement	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

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<p>36. 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 from April 17 onwards compromises operations and generates a higher safeguarding failure.</p>	<p>- 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 - EH staff start to look for alternative employment leaving a gap in service to meet demand.</p>	<p>Project board in place chaired by Strategic Director, comprehensive project plan in place with communications plan. - Planning group in place to develop draft implementation plan to deliver against proposal if approved. - Risks are managed via a risk log which is subject to scrutiny by the project board. - Refer to separate risk management plan for Early Help Remodelling and summary pasted below</p>	5	4	20	Analyse consultation findings as they come in to asses impact and risk and report to DCS.	4	4	16		Caroline Tote

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37. 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

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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
			Impact	Likelihood	Risk		Impact	Likelihood	Risk		
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. -Implementation of a placement planning process for sibling groups and complex cases.	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

Appendix 2 - Leicester City Council Operational Risk Register

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38. Learning Services - Leicester City Council reputation / relationships with schools are hindered by the delay in resolving snags and defects items with schools.	<ul style="list-style-type: none"> - 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 has been reviewed and a new programme manager is working to ensure that this and other aspects of our programme are better planned and delivered. Clarity to schools provided on escalation route for snags and defects concerns.	4	5	20	staff time	Ian Bailey
39. Learning Services - Funding reduction leading to inadequate school improvement capacity From 2018/19 funding to support monitoring and intervention in maintained schools will reduce from £1.3m to around £300k.	Significant increases in schools rated RI and Inadequate Reputational damage for the council	Seeking to develop school-led capacity	5	5	25	Develop traded capacity Further support for school-led system	5	4	20		Ian Bailey
40. Learning Services - Insufficient SEND specialist places	Impact on mainstream school "holding onto" pupils who have agreed special places. Potential increase costs of OOC places (vastly more expensive than in-city places).	Development of strategy for provision, building on trend analysis, numbers of EHCP pupils, identified primary needs, review of existing provision	5	5	25	Paper detailing proposed increase in special school places is scheduled for discussion by DMT in Spring term	3	3	9		Ian Bailey

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41. 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
42. 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.	- 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	- Children's Capital Governance has been reviewed and a new programme manager is working to ensure that this and other aspects of our programme are better planned and delivered.	3	2	6	Staff time	Ian Bailey
43. 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	- Children's Capital Governance has been reviewed and a new programme manager is working to ensure that this and other aspects of our programme are better planned and delivered.	4	4	16	Staff time	Ian Bailey

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44. 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	- Children's Capital Governance has been reviewed and a new programme manager is working to ensure that this and other aspects of our programme are better planned and delivered.	4	5	20	staff time	Ian Bailey
45. Learning Services - Insufficient school places for 2017/18 and 2018/19 Increased demand due to demographic changes Academisation and legislation changes affecting statutory powers to create new capacity Loss of commitment by schools to expansions Failure of new free schools to open	~ Statutory duty to allocate places is not met ~ Potential for safeguarding issue ~ Reputational damage	Development of robust data for pupil place planning, review forecasting methodology, verification of data by EFA SCAP team	4	4	16	Individual expansion options consultation with Heads; breakfast meeting cluster reviews; Development Group briefings; improved communications working with Strategic Lead HT; Strategic HT consultative group	4	3	12		Ian Bailey
46. 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.com / 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
STRATEGIC AREA - Public Health											

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47. 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 pursued. UPDATE: 24.01.17: - Procurement of above noted audit and payment module is being progressed and will be in place by early spring 2017.	4	4	16		Ruth Tennant
48. Public Health - Data Access and Sharing - Insufficient and inadequate data for PH function 1. Unresolved issues in national guidance on this matter. 2. Pseudominised Hospital Episode Statistics (HES) data for 10 years has not yet been released to us. 3. No current access to GEM (SUS Impatient Data) - Access to SUS planned for Jan 2017. HES data not yet released - unresolved issues in data processing by ArdenGEM. 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). - 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 mortality data prior to authorising release of data. Info supplied and awaiting outcome on mortality data. (Risk left at 16 due to this item). - Working together with MHS digital	4	4	16	More timely data being released nationally on line (aggregated - and does not support analysis at lower level). Maintain IG Toolkit Level 2 and work towards Level 3. HES data has been authorised - awaiting national decisions from HSOC re warehousing through GEM CSU. Can now make HES data required through PHE N3 issues followed up with IT. Partially resolved for access to ArdenGEM CSU (SUS data) Access to HIS data warehouse from City Council PC not yet resolved Awaiting national decisions. - Information agreements being drawn up for specific projects (for primary care	4	3	12		Ruth Tennant

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49. Public Health- Capability and Capacity- Maintaining sufficient specialist capacity to deliver on objectives whilst undergoing organisational review e.g. loss of specialist staff with local knowledge.	<ul style="list-style-type: none"> - Insufficient capacity to deliver on current and future plans - Inability to 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 - 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. - Capability interviews conducted for staff moving into new roles 	4	4	16	- Divisional and staffing review	4	4	16		Ruth Tennant

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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	- 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	4	4	16	Negotiation stage was successful and a final 0-19HCP submission has been received from LPT that reflects all the issues discussed and negotiated on. LCC are awaiting final information and a Section 256 from LCCCG regarding the Care Of Next Infant (CONI) subcontracting. Once this has been received and reviewed the contract can be awarded. Timescales for award are 16th Dec-9Th January depending on when the paperwork arrive from LCCCG. According to initial timetable contract was due to be awarded 17th January so we are still ahead of planned timescales.	4	3	12		Ruth Tennant

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51. Public Health - Substance Misuse Commissioning and contract management As a consequence of the ASC review there is potential for reduction in capacity and capability in commissioning and contract management relating to substance misuse treatment services. There has been a reduction in the number of staff and currently there is no identified commissioner for these services (Note total contract value of these services is in excess of £4 million). In addition there will be a significant loss of organisational memory as staff previously employed in this area have moved to other areas.	- Insufficient performance and contract management of contract to assure the DPH that the services provided are clinically safe -Inpatient specialist detox services are due to be recommissioned and currently there is not a commissioner identified to lead this - loss of specialist expertise in substance misuse poses a risk to future commissioning, quality assurance and clinical governance	- Clarify with ASC Head of commissioning arrangements, immediate mitigation and long term plans to manage commissioning, contract management and performance management of substance misuse contracts	4	4	16	Service level agreement developed to clarify arrangements and requirements of ASC in terms of commissioning contract management and performance monitoring of contracts	3	3	9		Ruth Tennant
52. Public Health - Fitness and Health - Continued decline in health and fitness membership results in increased income budget pressures	Increased budget pressure, reduced customer satisfaction	Servicing to maintain and monitor on a constant basis	4	4	16	Health & Fitness business case being developed based on lease options and within option appraisal. Marketing Partner	4	3	12		Ruth Tennant
53. Public Health - Pressure on Sports Services expenditure due to future service reductions	Loss of income creating budget pressure Loss of customers	Budget profiling and budget monitoring Sports Services Review	4	4	16	Leisure Facilities Review including PPS Options Appraisal approved	3	3	9		Ruth Tennant