

Appendix 4 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 30/04/18

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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STRATEGIC AREA - Adult Social Care												
1. Adult Social Care & Safeguarding - Integration agenda/STP. 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	31.07.2018 Ongoing
2. 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 revised Resource Allocation System) to ensure resources proportionate matched to eligible needs to protect funding - Budget monitoring - Demand monitoring - Use of BCF and iBCF 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 - Maximise income and debt recovery through work with operational finance / legal	3	3	9		Ruth Lake	31.07.2018 Ongoing

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3. 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	A JR legal challenge could cost the authority several millions if the methodology used by the Council is not robust.	Tracie Rees	31.07.2018 Ongoing
4. 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	31.07.2018 Ongoing
5. Care Services & Commissioning (ASC) - Implementation of the Sustainability and Transformation Plan (STP)	- 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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6. Care Services & Commissioning (ASC) Provision of statutory service Deprivation of Liberty Safeguards (DOLS)	<ul style="list-style-type: none"> - 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 	<ul style="list-style-type: none"> - 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 - Use of independent BIAs to be increased to cover sickness 	4	5	20	<ul style="list-style-type: none"> - Adhere to prioritisation system - Agree implementation of form 3B to allow for proportionate assessment - Report to be taken to Executive outlining risks and mitigation. - Monitor and review - Consider implications of Liberty Protection Safeguards as these become apparent. 	4	5	20		Tracie Rees	31.07.2018 Ongoing
7. Care Services & Commissioning (ASC) - Provision of statutory service - Approved Mental Health Professionals (AMHPS). LCC is legally obliged under the Mental Health Act (MHA) to provide 24/7 service which could be affected by lack of appropriate resource/insufficient beds at Bradgate MHU and ambulance shortage.	<ul style="list-style-type: none"> - Risk of harm to, or by, mentally ill person - Breach of compliance and possible fines - Reputation damage - Impact on morale and stress if staff working outside hours - Increased staff turnover leads to immediate resource issues; also recruitment and training requirement - potential delays and can increase working hours. - Not meeting MHA legislation - Potential delays and can increase working hours. 	<ul style="list-style-type: none"> - Reviewed and split rota system to try and reduce longer hours - has not continued (at staff's request) - Management support offered to AMHPS - Agency support for out of hours cover - Secondments and extra hours offered to staff - Escalated within LPT and CCGs - Using non AMHPS for some support functions - Rota being reviewed, Market increments being considered (replace being considered with implemented) for B/H working 	4	5	20	<ul style="list-style-type: none"> - Management support to AMHPS , continue to consider options for recruitment, Continue to escalate Formal review of rota across 24/7 commencing with AMHPS and unions on 10.04.2018 	4	3	12		Tracie Rees	31.07.2018 Ongoing

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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/savings of £286k 17/18	Tracie Rees	31.07.2018 Ongoing
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.	- Government has confirmed that LHA cap will not be applied. Awaiting government announcement on funding consultation . 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	31.07.2018
10. Care Services and Commissioning (ASC) Financial viability of the provider market - market failure, especially relating to the dom care and Res care	- Care not being available to those in need	- Regular monitoring of the market and financial checks on providers	4	4	16	- Regular updates market and financial updates to the lead member and executive	4	3	12	Additional costs to the ASC budget if the providers refuse to take cases at the banded rates	Tracie Rees	31.07.2018
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	31.07.2018

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STRATEGIC AREA - City Development and Neighbourhoods												
12. 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	- Claims have to date been contained within budget with 1 final claim to resolve	4	3	12	Contingency provision is over subscribed	Matt Wallace	31.07.2018 Ongoing
13. 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 is now dealing closure of outstanding contractual snag, defects and claims. Internal team established split in three work streams 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	31.07.2018 Ongoing

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14. 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. - CCMP2 to be submitted to CM in summer 2017	3	4	12	Staff time	Matt Wallace	31.07.2018 Ongoing
15. Estates & Building Services - Lift Condition Assessment - Asset Capture, Lack of forward planning in terms of planned maintenance and programming change of assets	- Continued failure of assets - run to failure - ad hoc capital required to make good - less reliable assets and more entrapments. - Lift users may be compromised in terms of access/egress/mobility - as per the Beatty Ave experience	- Formatting a proposed capital programme of works, based on engineers submissions (Zurich and LES) will be ready in December 2015 - Lack of internal staffing resource and excessive external consultative cost are prohibiting progress	3	5	15	Lift surveys to be undertaken prior to March 2017	2	5	10	50K to undertake surveys by framework consultant	Matt Wallace	31.07.2018 Ongoing
16. Estates & Building Services - Loss of use of Asset Unsafe asbestos particles found	- Closure of buildings	- 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	5	3	15	- 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	31.07.2018 Ongoing

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16. Estates & Building Services - Loss of use of Asset - Continued Fail to maintain Water Hygiene	- Closure of buildings	- 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.	5	3	15	- 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	31.07.2018 Ongoing
17. Housing -To deliver efficient and effective services to customers making the best use of available resources. Risk is Failure of IT to secure suitable devices for hardware procurement project (rollout of tablets/laptops)	- Significant impact on the ability to deliver day to day operations across the division	- Housing are working with IT to source suitable devices in a timely manner.	4	4	16	Housing are working with IT to source suitable devices for rollout. Current devices within the Housing Division are being redeployed to critical areas of the business and removed from those areas that can operate manually pending identification and roll out of new devices or new IT system.	4	3	12	Associated staffing costs	Chris Burgin	31.07.2018 Ongoing

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<p>18. 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 although central government regulations have now been delayed. Additionally, Pay to Stay has been shelved so no further progress made from central government directives in this area.</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>- UC FULL service in Leicester will be rolled out in March 2018.</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 2017/18.</p> <p>- Extra income generated from increased rent will be returned to Government</p>	<p>- On-going close monitoring of tenant rent accounts affected by these changes, including raising awareness of UC introduction and the impact on rent liability. Promotion of direct debits and of Clockwise accounts with tenants. Renewed STAR team support focussing on LCC tenancies where vulnerability identified, so that additional support is provided to sustain tenancy with early intervention.</p> <p>- Maximise the number of tenants claiming DHP for bedroom tax affected cases. Identified tenants who are under-occupying in order to help them with down-sizing.</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> <p>- Additional work underway to review and realign Conditions of Tenancy and Tenancy Strategy.</p>	4	4	16	<p>- Development of Northgate's IT system to support paperless direct debits in progress via Rent Self Serve Module to be implemented by January 2018.</p> <p>- Senior Management participating in the Corporate UC - FS Steering Group to shape delivery in Leicester by March 2018.</p> <p>- Internal Housing Project set up to shape and deliver housing divisions response to UC FS impact on LCC tenants. This feeds into the corporate project group of which Housing is a member of. A Business Change Manager has been allocated to IMT to support planning the implementation of Universal Credit and is developing project plans, a communication strategy and risk logs.</p> <p>- Consideration towards agile working to enable officers to assist tenants with the digital platform of UC. As it has been identified, that many tenants will require this support to engage with UC services. Discussions with DWP to have housing experts based at the 3 main</p>	4	3	12	<p>Additional cost of Northgate is a combined divisional cost and not identifiable singularly. Additional costs maybe occurred through the purchase of hardware devices to support agile working and ongoing revenue costs associated with Wi-Fi licenses.</p>	Chris Burgin	31.07.2018 Ongoing

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19. 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 and capital investment.	<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	31.07.2018 Ongoing
20. Neighbourhood and Environmental Services - BEAUMONT PARK DEPOT Condition of depot creating risks to service delivery, individuals working on site and visitors, situation identified in H&S report in 2011.	<ul style="list-style-type: none"> - Serious accident injury and or death to staff/member of public. - Reputational damage to LCC. - Insurance claims against the Council. - Legal challenge. - Media exposure. - Adverse effect on budget/finances. - Closure of premises, loss of service. - Breaches in legislation and/or non-compliance. - Demand led services may not be met. 	<ul style="list-style-type: none"> - On going review of depot in-house Business Change Manager facilitating with E&B. Undertaking options appraisal with input from Legal, Planning and Highways. - Building conditional surveys reviewed under the TNS Programme. - Agreed to manage outside of Depot review with separate budget allocation. - Dedicated Banksman employed to manage traffic movement on site. - All staff trained in banksman duty of care. - H&S team undertake review of short term safety measures for pedestrians and vehicles on site. 	5	4	20	Building reviewed under Depot review part of Technical Services Board. Looking at options to extend footprint to allow more space required for scale of operations and introduce a one way system for access and egress. Flagged as a Department issue through to Strategic Director.	3	2	6	Unknown at present	John Leach/ Stewart Doughty	31.08.2018

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<p>21. 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, resulting in confusion etc.</p>	<p>- Teams already at a minimum and extra workloads are unsustainable.</p> <p>- As demand-led services increase, workload and public expectations increase.</p> <p>- Likelihood of key person dependency as teams reduce further (fewer people in key roles).</p> <p>- Potential risk of non-compliance or breaches/lack of a substantial control environment.</p> <p>- Service delivery requirements not met.</p> <p>- Staff wellbeing may be harmed.</p> <p>- Reputational damage may result from unplanned building closures due to staff shortages.</p>	<p>- Existing prioritisation arrangements are in place.</p> <p>- Policies and procedures are in place.</p> <p>- Processes are in place.</p> <p>- Regular briefings and PDRs</p> <p>- Organisational review consultation process.</p>	4	4	16	<p>- Review of succession planning is to be conducted.</p> <p>- Need to assess the service demand against the resource availability to understand impacts and generate action plans.</p> <p>- Develop further prioritisation arrangements.</p> <p>- Continually assess through performance appraisals and individuals one-to-ones.</p> <p>- Need to plan work rather than be reactive, put in place "response times" for undertaking work.</p>	3	4	12		John Leach	31.07.2018 Ongoing

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<p>22. Neighbourhood and Environmental Services - REDUCTION IN INCOME GENERATION PROGRAMMES</p> <p>With reductions in public demand in Building Control and Pest Control 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> <p>Competition from competitors eg, Crematorium.</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. - Internal recharges, eg for community space, will reduce as services reorganise. 	<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. - An agreement is in place for withdrawal of internal services from community settings under the TNS programme. 	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. - Exec briefing paper on Bereavement Services F&C options. - Larger shared service for Building Control - Roman developing assessment re feasibility. 	3	4	12	N/A	John Leach	31.07.2018 Ongoing
<p>23. Neighbourhood and Environmental Services - RESOURCE & CAPACITY - INCREASED WORKFORCE AGE PROFILE</p> <p>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.</p>	<ul style="list-style-type: none"> - 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. 	<ul style="list-style-type: none"> - "Step up" - work experience utilise - Graduate project officers. - Training & Mentoring - Knowledge sharing - Apprenticeship Levy - Leicester Environmental Volunteer scheme - PDR's, identify training and skills gaps and needs 	3	5	15	<ul style="list-style-type: none"> - 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	31.07.2018 Ongoing

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24. Neighbourhood and Environmental Services - ASSET CONDITION Condition of buildings creating risks to service delivery and individuals (in certain circumstances)	<ul style="list-style-type: none"> - Building/service closures - Insurance claims against the council - Reputational damage to LCC 	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - Building reviewed under TNS - Condition surveys commissioned and review to address key issues 	3	3	9		John Leach	31.07.2018 Ongoing
25. Planning and Transportation - Transport Strategy -Tackling Nitrogen Dioxide and other air pollutants	<ul style="list-style-type: none"> - Ongoing poor air quality contributing to ill health and death of Leicester population. - Possibility of fines if remain in the EU or from government if not. - Poor reputation of Leicester as a city to work, live or visit. 	<ul style="list-style-type: none"> - Air Quality Action Plan 	5	3	15	Air Quality Action Plan Board in place and action plan is being delivered. CAZ agreement with bus operators to signed. Defra funding secured for Feasibility Study to assess AQ intervention options. Likelihood of successful £16m ERDF Low Carbon bid increased - includes measures with positive impact on NO.	4	3	12		Andrew L Smith	31.07.2018 Ongoing
26. Tourism, Culture & Investment - De Montfort Hall - Loss of operational ability, falling below customer expectation, loss of reputation, knock on effect to touring promoters if facilities not up to industry expectation. Root problem: The flying bars recently suffered some failures and if the flying bars were to cease operation, we would not be able to continue with our programme of shows.	<ul style="list-style-type: none"> - Loss of income, loss of reputation, negative PR. 	<ul style="list-style-type: none"> - Responsibility for maintenance of the flying bars has rested with DMH until recently. The recent condition report commissioned by Theatre Plan, suggest that the flying bars will fail in 12-18 months. Approximate cost of replacement would be £200k. Further investigation is required. EBS will struggle to fund from maintenance budgets. 	5	3	15	EBS prioritising within 2018 programme	5	2	10	Significant risk that the flying bars will fail and cause cancellations, which would be detrimental to DMH with an unlimited cost. Promoter would need to be compensated and customers also.	Mike Dalzel	31.07.2018 Ongoing

Appendix 4 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 30/04/18

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			
27. Tourism, Culture & Investment - De Montfort Hall - Loss of operational ability, falling below customer expectation, loss of reputation, knock on effect to touring promoters if facilities not up to industry expectation. Root problem: The stage lift has recently suffered some failures and if this lift were to cease operation, we would not be able to change format of the hall to enable DMH to hold the variety of performances we currently have booked	- Loss of income, loss of reputation, negative PR.	- Responsibility for maintenance of the stage lift has rested with DMH until recently. EBS have now taken on responsibility. We have had the lift serviced this Summer 2017, with recommendations for some repairs to take place in Summer 2018 which would cost approximately£30k but the lift really needs to be replaced entirely at a cost nearer £200k. The recent conditional report suggest that the lift will fail in 12-18 months. Property services have expressed that they do not have a budget to service our needs.	5	3	15	EBS prioritising within 2018 programme	5	2	10	Significant risk that the lift will fail and cause cancellations, which would be detrimental to DMH with an unlimited cost. Promoter would need to be compensated and customers also.	Mike Dalzel	31.07.2018 Ongoing

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STRATEGIC AREA - Corporate Resources and Support												
28. 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. - Unable to source suitable polling stations and a count venue for unplanned elections.	- 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. - Impacts also on the wider capacity and resources of the Council which would be needed to support delivery.	- Returning officer and nominated deputies are in place. - Insurance is in place. - Many elections can be planned and have set dates. Monthly planning meetings and work already underway in preparation for the next planned elections (Mayoral and Local) in May 2019 taking account of lessons learned from recent elections. - May 2015 and 2016 elections and EU referendum enabled newer members of the core team to develop further skills and experience in specific aspects of the elections process which was further consolidated by 2017 general election. - Electoral Commission guidance gives detailed support in the planning and management of each specific type of elections. - A number of the Electoral Services team undertaking professional AEA qualifications. - In recent elections have drawn upon external expertise e.g. training delivered via	4	4	16	- Continue to develop skills and expertise across the wider electoral services team including completion of formal training & qualifications - a number of staff undertaking relevant qualifications. - Use external or peer support where feasible e.g. from other local authorities. - Consider training/up-skilling a pool of contingency staff. - Keep under review staffing skills and expertise within the team and more widely	4	3	12		Miranda Cannon	31.07.2018 Ongoing

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			(See Scoring Table)	(See Scoring Table)	(See Scoring Table)		(See Scoring Table)	(See Scoring Table)				
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>29. Delivery, Communications and Political Governance - LEGAL CHALLENGE - Consultation approach and EIAs are increasingly targeted areas for legal challenge and increased tendency for employment tribunals particularly since abolition of fees. Increased legal challenges heighten the need to ensure that processes are followed by staff: Risk: Ineffective and inefficient processes and managers do not follow explicit guidance. Efficient/effective processes are not communicated in a uniform manner 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>- 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. - Unrealistic public/political expectations</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. - Expert support e.g. HR, equalities, consultation in place with supporting guidance. - EIA process (what needs to be considered when) and EIA templates regularly reviewed and revised as appropriate. - 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 undertaken by the Comms and Equalities Teams - Close to completion of a new Equality Strategy - Corporate Equalities Manager is reviewing existing culture and practice related to equalities and the supporting tools and guidance</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. - Ensure the correct resources, with the relevant skills and experience are allocated to roles. - Ensure HR support is available. - Complete new Equality and Diversity Strategy - decision due at June Council - Review current consultation guidance for staff - HR Ops / HR P&P engagement with Head of Legal (for employment law) to review how we work together and the approach to casework - Ensure learning is applied from recent referral to Ombudsman regarding unanswered question to scrutiny</p>	4	3	12		Miranda Cannon	31.07.2018 Ongoing

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30. Delivery, Communications and Political Governance - HR System Implementation Implementation of the new HR system goes over budget / timescales or system cannot meet requirements and fails to achieve desired outcomes and benefits	<ul style="list-style-type: none"> - Ability to deliver the core HR service is compromised - Critical data / information is lost - Statutory requirements such as HMRC and other returns cannot be achieved - Increased costs to the service including risk of fines where statutory requirements cannot be met eg pensions returns - Reputational damage - Pressure on staff resulting from the need to work in the absence of an effective system - Staff are not paid correctly (under or overpayments) creating additional work for Payroll and dissatisfaction amongst affected staff - Other errors occur eg calculation of annual leave creating additional work for BSC and dissatisfaction amongst staff/TUs 	<ul style="list-style-type: none"> - Project Manager and Project Board in place. Close involvement of key areas including ICT Procurement, BSC, ICT - Continued robust discussions with supplier re: supplier failings and holding them to account contractually where necessary - Recruitment now removed from scope and will be re-tendered in light of failure by supplier to deliver. Situation now resolved in relation to the JE system - Go live of payroll and self-serve elements has happened, issues prioritised and majority of high and medium risk issues now addressed but low priority ifixes still to be completed before phase one can be closed. Work underway on next phases of implementation around casework management etc. However supplier has failed to deliver a stable system which can meet the requirements of the statutory pensions returns leaving the organisation exposed to risk 	4	4	16	<ul style="list-style-type: none"> - Regular robust monitoring and reporting on progress. - Ensure robust project management and governance arrangements continue and holding supplier to account via formal contractual mechanisms - Project Board to consider more fully the longer-term options - Keep organisation informed regarding progress CURRENT ACTIONS ARE NOT HAVING SUFFICIENT IMPACT ON RISK AND THEREFORE RISK SCORE AFTER MANAGEMENT ACTIONS HAS GONE UP	4	4	16		Miranda Canon	01.06.2018
31. Finance - Information and Customer Access The Council is at constant threat from malicious hacking or human error.	<ul style="list-style-type: none"> - 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 	<ul style="list-style-type: none"> - Ensure adequate technology is in place to protect the authority - AlienVault Logging procured. - 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 	5	5	25	<ul style="list-style-type: none"> - Targeted Phishing - Promote Human Firewall awareness - Implement further defences - Consider draconian response to threats 	4	3	12		Alison Greenhill	31.07.2018 Ongoing

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Risks as at: 30/04/18

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32. 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'. 	Budget balanced in 18/19. Further work required to balance the medium term, particularly driving the spending review 4 programme.	5	4	20	- Heavy involvement of City Mayor in ensuring spending review programme delivers.	5	2	10		Alison Greenhill	31.07.2018 and every year end.
33. Finance - Corporate Fraud Failure or inability to effectively detect, prevent, investigate and deal with corporate fraud.	<ul style="list-style-type: none"> - Reputational damage - Potential for losses in £millions - Investigations not effectively carried out - Fraud difficult to quantify so cannot always evidence effective outcomes 	<ul style="list-style-type: none"> - Corporate Fraud Team has accredited financial investigator - Good engagement with Police Financial Crime Unit - Recruitment to posts 	5	4	20	- Aiming to implement seconded Police officer	5	4	20		Alison Greenhill	31.07.2018

Appendix 4 - Leicester City Council Operational Risk Register

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			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
34. Finance - Introduction of Universal Credit (UC) Full Service LEGISLATION - Transfer of Housing support from the local authority, as under Housing Benefit (HB), to DWP. Schemes are not identical and in some instances not as generous as under HB. Impacts complex to explain as some claimants will remain on HB in the interim, for periods as fixed by the DWP.	- Rent policy and collection arrangements will be challenging (different impact to rent arrears) - Housing policies and procedures will require review - Potential need to increase allocated staff resources - Rental payments are delayed thus arrears build up leading to financial consequences for the Authority, Housing Associations & Private landlords - Financial consequences in £m - Increase to bad debt provision (Rent £2m arrears & CT £3.5m in year collection loss) - Reputational damage - Demand for Crisis Support will increase (est 200%) - Demand for Social Welfare Advice will increase (12.5%) - Demand upon Discretionary funding may exceed Government budget Allowance. - Demand for Council Tax Discretionary Relief (CTDR) support may exceed budget - Waiting and assessment periods, sanctions and compliance requirements will lead to delays in first payments and monthly reassessments of entitlement will be carried out	- LCC have a UC support strategy, risk log, Equality Impact Assessments with associated comms and action plans - Housing Service are developing a UC Full Service impact strategy, reviewing and developing a Homelessness prevention policy - Housing Options are monitoring the occurrences of this phenomenon - Detailed comms and action plans have been created by both Revenues & Customer Support & Housing - Comprehensive engagement programme is in place with commissioned providers to alert them to the increase in demand. - Every commissioned service has a business continuity plan which can be deployed should demand outstrip provision.	4	4	16	- Effective and repetitive communication campaign - The Council has written to DWP to raise their significant concerns regarding the impacts likely as a result of the introduction of full service Universal credit. - Social Welfare advice - discussions ongoing at the Strategic SWAP (Social Welfare Advice Partnership) group re the identification and management of demand - Recognition of increased demand for crisis support- Engagement with provider, Action Homeless, actions within their Business continuity planning. - DHP (Discretionary Housing Payments)/CTDR potential to request consideration of additional resources from Exec. - Reputational damage should be defensible as this is a DWP benefit and the local authority has no control over the timetable or administrative processes for this change.	3	4	12	£2m Rent arrears £0.5m Grant loss £3.6m CT loss	Alison Greenhill	30.07.2018 Ongoing

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
34. Finance - Introduction of Universal Credit (UC) Full Service - Continued CUSTOMER ACCESS Any claimants who do not have the educational or language skills could find it very difficult to access UC. This could be compounded by lack of access to IT to enable them to engage in the application, compliance and claim management process as required under their claimant commitment.	- Increased need for educational, digital & personal support - increase in Stress Action Plans and associated resources to support staff, - increase in staff absence - Stress action plans - especially in front of house services incl libraries etc	- Staff resources across Housing and Finance are being reviewed and where possible expanded. - Access to digital support, education and personal support provision is being mapped, reviewed and robust Comms being developed to help mitigate impacts and also support customers to satisfy claimant commitment criteria										
35. Finance- BSC - Payroll Service -Loss, or partial loss of Payroll Application SAFE. Fragility of the software and SAFE system support resources leaves the potential for a significant number of staff to be paid incorrectly. This would mean over/under payments or in extreme cases no payment	- Reputational damage - potentially huge. Noting reputational damage with Harborough DC & Leicestershire Cares - Approx. 16,500 employees, councillors and external customers not paid/incorrectly paid on a monthly basis - Requirement for emergency payments due to financial hardship - Financial compensation for bank charges imposed on employees, councillors and external customers	- SAFE EMS systems provided by SAFE Computing, 20 Freeschool Lane, Leicester LE1 4FY are retaining expertise from SAFE ownership - Escrow Agreement (49000) with NCC Group - Payroll Services BCP in place, lead Cory Laywood - Line by line manual checks of the payroll extracts from the SAFE system	3	5	15	- Occasional testing of BCP plan - Using BAU processes to deal with under or over payments - Additional checking processes before the final BACS run - Smart reporting to test for known issues	3	4	12	20% of monthly net pay at £18m	Alison Gre	30.09.18 & ongoing

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<p>36. 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 mgmt. - Improvement plan identifies necessary procedural updates etc. - Good liaison with Information Commissioners Office (ICO) and increased visibility and compliance. - Regular reports to Directors on the importance of IG compliance. - Staff are required to complete IG training on induction and all staff were asked to complete training in 2013. - LCC submissions to the NHS IG Toolkit provide a health check on IG policies and systems. - Self service IG Healthcheck tool for managers has been drafted. Next stage is testing. (NB staff turnover and high rates of change are increasing LCC's exposure to risk here)</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 is anticipated.</p>	4	3	12		Kamal Adatia	31.07.2018

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STRATEGIC AREA - Education and Children's Services												
37. 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 - Further pressures on the service regarding the admin business support review	- 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	4	4	16		Caroline Tote	31.07.2018
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 (Early Help) and statutory services.	- Proposed savings in EH services are being implemented and will be achieved by April 2018. Impact on services to Children young people and families continues to be assessed as part of savings proposals. Pressures on the Out of Authority placement and increase in LAC numbers beyond allocated budget. - The Single Assessment team will need to be funded from the existing budget to consider how existing services can be remodelled.	5	4	20	- Further consideration of other identified improvement areas to be discussed. - Further areas of the Resource Plan under consideration - Development of the edge of care panel and the permanent progression panel	4	4	16		Caroline Tote	31.07.2018

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			(See Scoring Table)	(See Scoring Table)	(See Scoring Table)		(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 EH 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. - The consequence of increased LAC is that the dept. budget for 2017/2018 will be exceeded	- 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. - An equality impact assessment will be updated an inform a scrutiny report for consideration in March/April 2018.	4	4	16		Caroline Tote	31.07.2018
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. - WFD Strategy work has slowed down, needs to be picked up again.	4	4	16		Caroline Tote	31.07.2018
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	- TM training is being delivered to ensure expectations are clear	4	4	16		Caroline Tote	31.07.2018

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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	31.07.2018
38. Children's Social Care and Early Help - Safeguarding Publication of Serious Case Reviews for cases that occurred in 2013/14 and case that led to a SILP in 2107/18	- 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.	5	4	20	- Work through Local Safeguarding Children's Board groups to disseminate messages from the Serious Case Reviews. - Approach agreed for coroners inquest in August 2017	5	4	20		Caroline Tote	31.07.2018
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	31.07.2018

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			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
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. 	- A framework is ensuring compliance is adhered to	3	5	15		3	4	12		Caroline Tote	31.07.2018
39. 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: <ul style="list-style-type: none"> • 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' 	<ul style="list-style-type: none"> - 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 	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - 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	31.07.2018

Appendix 4 - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 30/04/18

Risk What is the issue: <i>what is the root cause/ problem – what could go wrong</i>	Consequence /effect: <i>what would occur as a result, how much of a problem would it be ?, to whom and why</i>	Existing actions/controls	Risk Score with existing measures (See Scoring Table)			Further management actions/controls required	Target Score with further controls (See Scoring Table)			Cost	Risk Owner	Review Date
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Insufficient high quality workforce in support services resulting in key support functions not being carried out including Business Support, Liquid Logic report writing, Liquid Logic training and floor walking	- Key tasks underpinning Improvement Plan not carried out, or delayed due to lack of staff	- Continued recruitment of key staff including consideration of secondments - Business Analysis undertaken of the admin support functions - Roll out of mobile technology to staff	5	4	20	Admin review completed and findings to be provided in September 2017	4	4	16		Caroline Tote	31.07.2018
40. 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.	- 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.	- Review underway.	5	4	20	- Analyse consultation findings as they come in to assess impact and risk and report to DCS.	4	4	16		Caroline Tote	31.07.2018

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41. 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	31.07.2018
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 - Wigston Lane used to consider young people moving into independence	4	4	16	- Use to be monitored and reviewed in the next quarter.	3	4	12		Caroline Tote	31.07.2018
42. 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 with key stakeholder Eg Ofsted, RSC	- Seeking to develop school-led capacity through SISS, LESP and SSIF	5	4	20	Seeking to leverage de-delegated funding to smooth transition to school-led system	5	4	20		Paul Tinsley	31.07.2018

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43. 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 when needed	- Statutory duty to allocate places is not met - Potential for safeguarding issue - Reputational damage	Temporary accommodation in place at six secondary schools. Permanent expansion schemes in development at nine schools. Pressure on DfE to deliver approved free schools in 2018, 2019 and 2020. Sites being identified for temporary openings.	5	4	20	Additional pressure may be needed with DfE.	4	3	12		Paul Tinsley	31.07.2018
44. Learning Services - Insufficient SEND specialist places	- Impact on mainstream school "holding onto" pupils who have agreed special places. - Potential increase costs of Out Of City places (vastly more expensive than in-city places).	- Development of strategy for provision, building on trend analysis, numbers of Early Health Care Plan, pupils, identified primary needs, review of existing provision	5	4	20	- Paper detailing proposed increase in special school places is scheduled for discussion by DMT early in Autumn Term. - Detailed work with special schools has identified capacity for 2017/18	5	2	10		Paul Tinsley	31.07.2018
45. Strategic Commissioning and Business Development - Safeguarding/ teaching and learning workforce programmes are ineffective and Local Authority has insufficiently trained staff to deliver and manage the range.	- Stress management failings, lacks capacity and competency - Potential adverse impact on inspection outcomes.	- Work Life Balance policies, and supporting wellbeing website www.childrensworkforce.gov.uk / supporting wellbeing Learning Training & Development Plan refreshed - New department priority and focus on qualification and safeguarding training.	4	4	16	- Management to implement health and safety and wellbeing policies and seek advice and support to mitigate risk of undue stress in the workforce - New corporate team to actively engage in implementing workforce strategy and limited strategy and plans.	4	3	12		TBC	31.07.2018

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STRATEGIC AREA - Public Health												
46. Public Health-Claiming Process for GP Providers - The clinical systems used by GP providers to claim payment for public health commissioned services are insufficiently robust to ensure payment accuracy	- 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 - Procurement of integrated audit and payment module failed due to lack of provider bids.	4	5	20	UPDATE 23.03.18: A procurement exercise has been undertaken and a Provider is soon to be appointed. This will solution deliver the required data and will be able to be accessed by both the Public Health and CaAs teams. This will access clear data as to correct number of Health Checks that have been undertaken and as such the CaAs team will be able to reimburse based on this, this eliminating both the need for GP practices to submit invoices quarterly and also the current reconciliation processes that take place within the CaAS team. 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 pursued.	4	4	16		Ruth Tennant	30.06.18

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47. Public Health - Data Access and Sharing - Insufficient and inadequate data for PH function 1) Access issues to hospital inpatient data (SUS and HES) - application ongoing for access 2) No data access agreement with CSU (Mids and Lancs) for access to CCG data - no data from SystemOne to support PH commissioned services, performance indicators and PH surveillance function	- If unresolved only able to offer a limited services in terms of core offer and other analyses required UPDATE: 25.04.17: - The Public health Team has recently been made aware that no data can be received from the CCG, as the current agreement between the CCG and Leicester City GPs has lapsed, as of 31.03.17. As such, no monthly data is being received for any of the Community Based Services (CBS) that the Public health team commission. -Update 08.01.2018 - CCG have provided NHS health check data for 2017/18 Q1 and Q2 from SystemOne (S1). SP and HR working with CCG to understand the differences in counts of Health checks provided by GPs and S1.	- Application for SUS inpatient/outpatient/A&E data has been approved by NHS Digital. HR working with Midlands and Lancashire CSU and Leicester City CCG to develop SLA to access SUS data. b) application in progress for access to HES (H-DS online system) via NHS Digital - Julie /Steve Petrie progressing data access agreement with CCG / CSU to enable regular data flows to support PH commissioned services, performance indicators and PH Surveillance function.	5	4	20	UPDATE 23.03.18: A procurement exercise has been undertaken and a Provider is soon to be appointed. This will solution deliver the required data and will be able to be accessed by both the Public Health and CaAs teams. This will access clear data as to correct number of Health Checks that have been undertaken and as such the CaAs team will be able to reimburse based on this, this eliminating both the need for GP practices to submit invoices quarterly and also the current reconciliation processes that take place within the CaAS team. 1) Progress SLA with CSU and CCG for accessing SUS datasets and reporting tool 2) Discussions were had about implementing an Information Sharing Agreement for Community based Services (NHS Health Checks, Sexual Health data) between the Local Authority & Leicester City CCG and a draft document was created and sent to the CCG for comment in September 2017	4	3	12		Ruth Tennant	30.06.2018

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48. 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	- Appointments now made	3	2	6		Ruth Tennant	30.06.18
49. Public Health - Accommodation project ;Risk that landlord will not approve of the proposals for building , risk that costs of refurbishment exceed contingency and capital budget	- No building available , savings not achieved , service interruption	- Frank discussions with landlord and site of plans at an early stage, Clear feasibility study and costs including contingencies, project management plan .	4	4	16	- Plans to go to landlord 27th October , Feasibility to include contingency funding ,planning approval to be sought prior to Christmas	4	3	12		Ruth Tennant	2019
50. Public Health - Building not ready in time by lease finish on 31st Dec 2018	Difficulty providing service without accommodation, patients presenting at GPs , untreated STIs ,reputational risk	Strategic Board set up that will report to DMT, Capital Board and LM progress of the project and any risks	4	4	16	Risk assessment to be undertaken ,contingency plan to be drawn up with alternative accommodation.	4	4	16		Ruth Tennant	2019

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51. Public Health - SPENDING REVIEW HEALTHY CHILD PROGRAMME COMMISSIONING In order to meet PH savings target money needs to be removed from the current 0-19 Healthy Child Programme (Healthy Together) contract at 19/20 (the first +1). Any money removed from a contract must be agreed with the provider (LPT), if an agreement fails to be reached, this could trigger an early recommissioning process. There is a substantial risk that, should LCC be required to re-commission early, no suitable alternative provider would be secured. The same risk applies to a Traded offer approach to the school nursing element of this	This could result in a break down in the relationship with LPT (current provider), it could result in LCC having no provider for 0-19HCP which would present a significant risk for harm to children aged 0-19 in Leicester.	05.01.18: regular meetings within LCC, regular meeting with LPT	4	4	16	05.01.18: None at this stage				33.6 million	Ruth Tennant	31.06.18
52. Sexual Health Services Review Failure to meet savings target set for Sexual Health Services Review. This may be as a result of not receiving executive approval for the proposals and/or the proposals do not realise the predicted savings.	- Failure to deliver savings will place cost pressures on other parts of the PH budget or wider council budget if savings have to be found in other areas	Proposals robustly costed	3	5	15	- Close monitoring of contract, budget and accommodation project to ensure maximum savings delivered - Ensure decision makers are well briefed to allow them to feel confident in making difficult decisions	2	5	10		Ruth Tennant	30.06.18