

							Current Risk Score			Risk Response; Tolerate Treat Terminate Transfer	Residual Risk			Action Owner / (Date)	Action Complete (Yes or No)	
Dept.	Risk #	Risk	Causes (s)	Consequences (s)	Risk Owner	List of current controls	I	L	Risk Score		Further Actions / Additional Controls					I
1. Medium Term Financial Strategy (MTFS)																
All	1.1	Risk around the MTFS including the ability to deliver savings through Service Redesign/ Transformation as required in the MTFS, impact of the living wage and other demand and cost pressures	<ul style="list-style-type: none"> Reducing government funding Increased demand for the most vulnerable continues to increase: Adult Social Care / CYPS Significant efficiencies/savings already realised and implemented thereby making it increasingly difficult to deliver unidentified savings 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Negative impact on all services as further service cuts will be required to reduce deficit <p><u>Reputation</u></p> <ul style="list-style-type: none"> Significant impact on reputation exacerbated by the need for quick and potentially crude savings if a more considered approach not adopted <p><u>Financial</u></p> <ul style="list-style-type: none"> Loss of income Restricted funding from other sources 	Chief Executive/ All Directors	<ul style="list-style-type: none"> Four year MTFS approved and maintaining a balanced budget for next 2 years Monitoring processes in place at service, departmental and corporate level Progress with savings monitored and reported to Scrutiny Commission regularly Reporting of Transformation Programme aligned with Corporate Finance reporting Progress on savings from Transformation Programme monitored regularly to resolve early issues Design Authority operational. Transformation Programme aligned to MTFS Introduction of the Business Consultant role within the TU to focus on supporting the development of Business Case development Deliverability assessments on all Business Cases and newly identified opportunities for savings now routinely completed. 	5	5	25	Treat	<ul style="list-style-type: none"> Further work on the Council's low funding position to make the case for increased funding to government. Responded to Fair Funding and Business Rate Retention in February 2019. Working with County Council's Network to develop Adult Social Care Formula Funding of capital schemes becoming increasingly difficult <p><u>Transformation Programme</u></p> <ul style="list-style-type: none"> TU resources are being focused on work with all Departments to identify new opportunities for savings and develop relevant business cases 	5	5	25	Chief Executive / All Directors During 2019/20	
CE	1.3	If S106 monies for the Council as a whole are not managed properly then there could financial risks as well as legal challenges	<ul style="list-style-type: none"> Due to the pooling limitations imposed by the Community Infrastructure Levy Regulations 2010 (as amended) on the use of s106 planning obligations. 	<p><u>Financial</u></p> <ul style="list-style-type: none"> Failure to secure funds putting LCC at financial risk <p><u>Reputation</u></p> <ul style="list-style-type: none"> Possible need for challenge / defend challenge in high court 	Director of Law & Governance Head of Planning, Historic & Natural Environment	<ul style="list-style-type: none"> Agreed positions established with District Councils Analysed data of s106 contributions since 2010 Infrastructure and Development Oversight Group in place- work programme and timetable in place Approach to projects and pooling established (subject to individual project circumstances). Regular updates to Cabinet on planning decisions that do not reflect the County Council's section 106 requirements. 	4	4	16	Treat	<ul style="list-style-type: none"> Improve procedures and practices Lack of staff resources to manage all the workload Developer Contributions Policy under review Implement a new corporate Growth Unit 	4	3	12	Head of Planning, Historic & Natural Environment During 2019/20	

CR	1.4	If claims relating to uninsured risks materialise or continue to increase then LCC will need to find increased payments from reserves, impacting on funds available to support services	<ul style="list-style-type: none"> Estimates from MMI continue to report a liability Potential to increase MMI levy as a result of recent foster care judgement and could impact the SOA. The judgement has an unknown impact Any claims arising from the time Independent were insurers would need to be self-funded. 	<p><u>Financial</u></p> <ul style="list-style-type: none"> Amounts involved are large and LCC is currently the MMI's largest creditor <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Reduced funds available to support services 	Director of Finance (Corporate Resources)	<ul style="list-style-type: none"> Members notified of requests for section 106 contributions that fall within their division. Detailed review of MMI claims undertaken before payments made Process for defending claims in place Ongoing partnership work with MMI to improve claims handling to reduce and manage losses A separate 'Uninsured Loss Fund' is established to meet to mitigate against such consequences of MMI in similar situations Training held to inform staff an management who undertake placement decisions re potential for future liabilities following Supreme Court decision that a local authority can be held vicariously liable for the wrongful actions of foster carers to a child in foster care 	4	4	16	Tolerate		4	4	16	Head of Internal Audit Service and Insurance Manager	Ongoing			
C&FS	1.5	<p><u>Social Care</u></p> <p>If the number of high cost social care placements (e.g. external fostering, residential and 16+supported accommodation) increases (especially in relation to behavioural and CSE issues) then there may be significant pressures on the children's social care placement budget, which funds the care of vulnerable children.</p>	<ul style="list-style-type: none"> Demand for high cost placements increasing especially in relation to behaviour & CSE issues 	<p><u>Financial</u></p> <ul style="list-style-type: none"> High cost and overspending of budget 	Director - Children & Family Services	<ul style="list-style-type: none"> Weekly tracking of admissions and discharges of Children in Care - Panel process reviewed to introduce tighter HOS control of children entering care and legal proceedings (Child Decision Making Panel established January 2018) Annual Market Position Statements were published to ensure marketing and recruitment for placement sufficiency remains appropriately targeted (2015-17) - mainstream and specialist Foster Carer recruitment targets for 2017-18 will be met by the end of April 2018 (one month over); two new strategies (Recruitment and Retention Strategy and Adoption and Permanence Strategy) will sit under an overarching Placement Strategy to be launched April 2018; targets against both these Strategies have already been agreed. 16+ placement framework was introduced during 2016 and has effectively allowed the service to manage costs of these placement but ensure we have sufficiency 	5	5	25	Treat	<ul style="list-style-type: none"> Word Of Mouth project – six year programme of targeted savings Consultant advising on additional growth and to deliver a revised payment scheme Advice being taken for additional growth to recruit foster carers Approach to Fostering being looked at by Transformation unit through consideration of use of market for contracted residential beds 	4	5	20	Director - Children & Family Services	During 2019/20			

						<ul style="list-style-type: none"> to enable to move children from more costly placements or for UASC. Complex Care Panel with health is ongoing, allows shared decisions for children in care with more complex and continuing needs Processes have been amended so that requires for residential placements must now be signed off by the Director and requests for independent fostering and 16+ by the AD for CSC – this is helping to ensure appropriateness and quality of requests and allowing closer scrutiny of processes Monthly high level DMT reviews are ongoing. Panel meetings also held to look at high cost placements in residential care and to ensure that appropriate plans and resources are in place to support placements Adoption complaints significantly reduced during 2017 with the introduction of a dedicated Service Manager for Permanence, the introduction of a support worker following the growth bid and a programme of training and awareness to promote staff understanding of the child's permanence journey - further improvements in Permanence (adoption and SGO) will be achieved in 2018, with an ongoing programme of awareness, introduction of dedicate staff for SGO support and recruitment of a third therapeutic worker for post 3 year adoption placement 								
C&FS	1.6	<p><u>Education</u></p> <p>If the High Needs Block Development Plan is not delivered on time and within budget then the number and cost of specialist</p> <ul style="list-style-type: none"> Services requesting support for high needs including SEN placements. Insufficient budget 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Unable to meet the needs of all vulnerable children in a cost effective and inclusive way Unable to meet the department's statutory duties around SEND Placements within available resources <p><u>People</u></p> <ul style="list-style-type: none"> Resources tied up in independent provision and 	Director – Children & Family Services	<ul style="list-style-type: none"> High Needs Project Board and HNB Development Plan in place SEND Sufficiency plan based on developing inclusion and establishing new provision progressing through Corporate Approval (Corporate schools Group 17 Dec) Application for SEMH Free School to be submitted to DfE Work underway with our 	4	5	20	Treat	<ul style="list-style-type: none"> Development of mainstream resource provisions and special school capacity: Expanded and new resourced provision is now established at Wigston, Iveshead, Rawlins Academy Hinckley Academy and All Saints Primary Wigston from April/Sept 2018. Co-production with parents has taken place to design this provision. Expressions of interest have been received from 29 schools and academies to develop new 	4	4	16	<p>Head of Service SEND & CDS</p> <p>Children & Family Services</p> <p>During 2019/20</p>

		placements is likely to exceed current predictions and the High Needs Block Budget will exceed latest forecasts		<p>not used in the most efficient way to meet needs</p> <p><u>Reputational</u></p> <ul style="list-style-type: none"> Bad publicity and low confidence in Local Authority to support vulnerable children and young people Low confidence in ability of department to manage its services, budgets and meet savings targets (MTFS). Poor outcomes at SEND Inspection <p><u>Financial</u></p> <ul style="list-style-type: none"> Budget overspent / continuing budget overspend which is unsustainable Required savings targets not met 															
CR	1.7	If the Council is non-compliant with HRMC IR35 regulations regarding the employment of self-employed personnel then there is a risk of large financial penalties	<ul style="list-style-type: none"> Clear Policy not in place Guidance, training and COMMS not in place for managers Lack of monitoring to identify contracts where issues exist. 	<p><u>Financial</u></p> <ul style="list-style-type: none"> Large financial penalties <p><u>Reputation</u></p> <ul style="list-style-type: none"> Loss of reputation as a good employer Adverse media coverage loss of public confidence <p><u>Legal</u></p> <ul style="list-style-type: none"> Risk of legal action against the Council for non-compliance 	All Directors	<ul style="list-style-type: none"> Guidelines in place New post in place Policy in place Tax expert able to provide advice on compliance Management of self-employed through Reed agency Develop guidance, training and improved COMMS for managers. Policy and process included in Managers Digest (September 18) including use of Reed Agency for all recruitment activity Human Resources Policies (temporary workers and independent contractors) have been updated as well as working practices. 	5	4	20	Treat	<ul style="list-style-type: none"> Review of all current identified post outside of Reed employment to identify issues Improve the standard of checks and information available from other employment agencies 	4	3	12	Assistant Director - Corporate Services Assistant Director – Strategic Finance & Property Corporate Resources During 2019/20		62		
CR	1.8	If public sector partners and major providers of services to the public sector get into financial difficulties there could be an impact on both the Council's financial	<ul style="list-style-type: none"> Monitoring arrangements re key partners are not in place 	<p><u>Financial</u></p> <ul style="list-style-type: none"> Additional budgetary pressures 	Director of Corporate Resources	<ul style="list-style-type: none"> Attendance at LALAT Oversight and monitoring of other organisations finances Created a refreshed contract management toolkit available on the intranet outlining the requirements of financial monitoring. 	4	4	16	Treat	<ul style="list-style-type: none"> Extra resources will be put in place to assess the financial health of maintained schools (and academies) and the financial planning service enhanced to support them. Continued use of credit scores to inform decision making. Need to be aware of their limitations. Monitoring of key partner organisations including regular dialogue 	4	4	16	Assistant Director – Strategic Finance & Property Corporate Resources				

		position and services															• complete a corporate refresh of all HV/BC/HR contracts for August 2019, these will then be placed on monitor with finance for the duration of the contracts.						During 2019/20	
C&FS	1.9	If the immigration status of unaccompanied asylum-seeking children (UASC) who arrive in the County is not resolved, then the Council will have to meet additional long term funding in relation to its housing and care duties.		<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Potential inability of service to meet demand from unplanned UASC arriving in the County <p><u>People</u></p> <ul style="list-style-type: none"> UASC arriving unplanned in the County do not get their needs addressed and appropriate support Pressures on staff (resources to deal with UASC) <p><u>Reputational</u></p> <ul style="list-style-type: none"> Negative publicity due to department being unable to meet its statutory duties with regards to UASC Threat of Judicial Review and Appeals if not meeting statutory duties with regards to UASC <p><u>Financial</u></p> <ul style="list-style-type: none"> Significant cost of providing emergency and additional support for UASC with complex needs National government funding unlikely to meet needs of UASC arriving unplanned in County – additional budgetary pressures on department 	Director of Children & Family Services					4	5	20	Treat				• Develop a recruitment and retention strategy	4	3	12	Assistant Director – Children’s Social Care	During 2019/20		
2. Health & Social Care Integration																								
A & C	2.2	Impact on County Council services and MTFS of the Better Care Together (medium term) transformation plan in Leicester, Leicestershire and Rutland (LLR), could lead to inability to deliver improved outcomes and financial sustainability.	<ul style="list-style-type: none"> the partnership may breakdown, the Council may withdraw from the process and levels of demand will continue to increase from partners leading to financial and safety risks. 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> STP programme outcomes are not delivered and the programme fails leading to reputational risks, partnership breakdown and financial instability within the health and care economy STP care pathway changes fail to maintain safe, high quality clinical care The shift of care from acute to community settings is not modelled or implemented effectively leading to unforeseen pressure in other parts of the health and care economy <p><u>Financial</u></p> <ul style="list-style-type: none"> The investment case within the SOC is not fully supported, 	Chief Executive Director- Adults & Communities and Director of Health and Social Integration					4	4	16	Treat				<ul style="list-style-type: none"> The County Council raised concerns about the current governance and viability of the STP and has determined not to be a signatory to a further draft plan. The NHS has decided not to publish a further plan but to promote partnership activity under the Better Care Together banner. Progress with any sort of medium term local NHS plan is largely dependent on the award of significant capital funding for which a business case is being prepared. NHS commissioning arrangements are now under review 	4	6	16	Director- Adults & Communities & And Director of Health and Social Integration			

				<p>leading to gaps in the financial plan/assumptions for delivering the programme</p> <ul style="list-style-type: none"> The savings from STP are not achieved, leading to gaps in the financial plan/assumptions for delivering the programme. A notional figure of £5m impact on ASC has been highlighted within the Strategic Outline Case. <p><u>People</u></p> <ul style="list-style-type: none"> Partners are unable to provide sufficient staffing resource to deliver the programme leading to failure to deliver at the required pace and scale Lack of LLR integrated workforce plans <p><u>Reputational</u></p> <ul style="list-style-type: none"> The communication and engagement plan for BCT is ineffective leading to lack of public support or opposition to the plans 											
All	2.3	LCC and partners do not have the capacity to meet expected increase in demand caused by the Welfare Reform Act	<ul style="list-style-type: none"> Decreased income Continual economic climate High unemployment / Reduction in wage increases Changes in the benefit system Introduction of Universal Credit transfers responsibility to vulnerable people Inadequate information for business cases jeopardising robust decision making More demand for advice services No central funding for Local Welfare Provision post April 2015 PIP migration for new and existing service users including appointee and deputyship in receipt of DLA who were 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Service users losing support/income leading to a rise in number of people needing support from LCC and other local agencies <p><u>People</u></p> <ul style="list-style-type: none"> Families less able to maintain independence Difficulty in identifying and implementing effective preventative measures 'Hard to reach' groups slip through the net <p><u>Reputation</u></p> <ul style="list-style-type: none"> Cases of hardship / lack of support in media Potential inspection Public confused as to which Agency has responsibility <p><u>Financial</u></p> <ul style="list-style-type: none"> A&C debt increases Demand led budgets under more pressure Risk of litigation / judicial review 	All Directors	<p>The Welfare Reform risk within the A&C Departmental Risk Register is scored as 6 (Green). Work has progressed on this risk as follows:</p> <ul style="list-style-type: none"> A&C have been working with CE (Policy Team) to group and map the risks to see how they fit together and understand how they flow into the strategic risks (reputational, service and financial) for the Council. This information has been shared with Departmental Risk Champions with a view to: <ul style="list-style-type: none"> <input type="checkbox"/> raise awareness of welfare reform risks; <input type="checkbox"/> Officers within Departments to consider impacts on their individual departments. Departments have been advised to identify any specific risks (welfare reform related) and retain and monitor via individual 	4	4	16	Treat	<p>The largest reduction in benefits started in 2018/19 and therefore impact has been relatively low and additionally universal credit is being rolled out across the county at the moment. Therefore this risk will be retained at a Corporate level and updates will be provided where relevant.</p>	4	4	16	All Departmental Management Teams During 2019/20

			under 65 on 8 April 2013 commences 13/7/15	<ul style="list-style-type: none"> Increased risk due to the migration from Disability Living Allowance to Personal independence Payments locally effective from 13 July 2015 over the following 2 years. The longer term risk has also now increased in relation to the Governments roll-out timetable that most existing benefit claimants will be moved over to Universal Credit during 2016 and 2017. However, it has now been acknowledged that at least 700,000 claimants will not be on Universal Credit by the end of 2017. 		departmental risk registers. Any escalation of risks should take the normal route										
3. ICT, Information Security																
All	3.2	If the Council fails to meet the information /cyber security and governance requirements then there may be breach of the statutory obligations	<ul style="list-style-type: none"> Increased information sharing and direct access to systems across partnerships Increased demand for flexible working increases vulnerability of personal, sensitive data taken offsite. More hosted technology services Greater emphasis on publication of data and transparency Greater awareness of information rights by service users Increased demand to open up access to personal sensitive data and information to support integration of services and development of business intelligence. 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Diminished public trust in ability of Council to provide services Failure to comply with Public Service Network (PSN) Code of Connection standard would result in the Council being disconnected from PSN services, with possible impact on delivery of some vital services. <p><u>People</u></p> <ul style="list-style-type: none"> Loss of confidential information compromising service user safety <p><u>Reputation</u></p> <ul style="list-style-type: none"> Damage to LCC reputation <p><u>Financial</u></p> <ul style="list-style-type: none"> Financial penalties 	Assistant Director – Corporate Services / Head of Information Management & Technology	<ul style="list-style-type: none"> New, simplified Information Security and Acceptable Use Policy in place PSN compliance achieved Regular penetration testing and enhanced IT health checks in place Improved guidance about data transfer tools in place Programme of communications in place to re-inforce data security practices Mobile device management process in place New security governance arrangements in place Increased communication and guidance on cyber security issues E-learning for all staff in place- made mandatory for all staff. All staff enrolled first of February 2017 Induction process includes requirements around information security New firewall in place providing two layers of security protection in line with PSN best practice E-learning -refresher course is now available online on the new Learning Management System Intrusion Detection Policy Learning Management System provides improved monitoring of e-learning completion. COMMS Plan in place to raise awareness with staff 	4	4	16	Treat	<ul style="list-style-type: none"> Develop a process for ensuring refresher training is completed and maintained - ongoing requirement to maintain compliance rates Work progressing to move to– Phase 2 surveillance and camera systems, asset register finalisation, procurement of assets register system 	4	3	12	Assistant Director - Corporate Services During 2019/20	65

All	3.5	If the Council fails to maintain robust records management processes to effectively manage information under its custodianship, personal data may not be processed in compliance with the Data Protection Act 1998 resulting in regulatory action and/or reputational damage	<ul style="list-style-type: none"> Lack of a co-ordinated approach in place to index, review and manage historical case files (paper and electronic) with regard to retention or disposal decisions Retention periods could be exceeded and therefore personal and sensitive data held longer than necessary Retention schedules not developed or compiled with Indexing training not in place or provided 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Service delivery adversely affected by out of date data <p><u>People</u></p> <ul style="list-style-type: none"> Personal information held longer than required <p><u>Reputation</u></p> <ul style="list-style-type: none"> Potential adverse media attention and public lack of confidence Subject access requests may not be compiled with <p><u>Financial</u></p> <ul style="list-style-type: none"> Potential financial penalties Insurance implications <p><u>Legal</u></p> <ul style="list-style-type: none"> Non – compliance with IICSA Inquiry. Destruction of records could lead to a Criminal Offence Non-compliance with ICO and Data Protection Act –Principle 5 	All Directors	<ul style="list-style-type: none"> Information Governance Board. Monthly monitoring of GDPR compliance work plan and regular review of risks. Completion of ICO 2017 audit action plan <p>Note : Legal services view is that fines for not retaining data when it should be retained for example in litigation or ICOSA would be greater than if data is kept securely for longer than is legally required . However records should not be held for an indefinite period of time.</p>	5	3	15	Treat	<ul style="list-style-type: none"> More detailed work being scoped focusing on greatest areas of priority. Plans in place to tackle physical file management issues Identification of additional resources required 	5	2	10	Director (Corporate Resources) and Director of Law and Governance During 2019/20
CR	3.6	If the replacement ERP system is not implemented successfully the organisation will not reap the benefits and the organisations finance and HR activity could be negatively impacted.	<ul style="list-style-type: none"> Lack of an agreed project plan to procure replacement system Users are not engaged through focus groups or workshops Monitoring arrangements not in place to identify early any emerging issues Governance arrangements not in place between partners 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Unable to deliver critical business services and other projects delayed. <p><u>Financial</u></p> <ul style="list-style-type: none"> Implement cost increase. <p><u>Reputation</u></p> <ul style="list-style-type: none"> Adverse publicity due to negative impact on supplier, customers and staff. 	Director of Corporate Resources	<ul style="list-style-type: none"> Contract agreed for new system (Oracle Fusion) experienced implementation partner procured and Programme Director appointed. New governance structure for implementation phase in place 	5	4	20	Treat	<ul style="list-style-type: none"> Dedicated Team Manager and reporting Lead being recruited Early commencement of data cleansing to reduce the potential for errors. Detailed assessment of system functionality with requirements being undertaken through advisory workshop 	5	2	10	Assistant Director – Strategic Finance Corporate Resources During 2019/20
C&FS	3.7	If the quality of data in C&FS Information Management System is too low to satisfy statutory requirements (e.g. data returns) this will impact upon service delivery	<ul style="list-style-type: none"> Data quality processes not defined, communicated Users not trained Report are not routinely produced and queries are not investigated and resolved 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Inability to effectively plan at a strategic and operational level (including individual plans for children, young people and families) Potential for poor inspection outcomes <p><u>People</u></p> <ul style="list-style-type: none"> Inability to support vulnerable children, young people and families in Leicestershire Poor outcomes for children, young people and families in 	Director of C&FS	<ul style="list-style-type: none"> Self-service of improved set of data quality reports (tied to MOSAIC) Improved training, development and guidance for staff Data Quality processes established and in place (such as weekly runs of Annex A (Ofsted SIF Inspection Framework) data files; Statutory data validation (as part of Statutory returns process); and, data matching (NHS Number and Education Database) 	4	4	16	Treat	<ul style="list-style-type: none"> Self-service of improved set of data quality reports ((tied to MOSAIC) Improved training, development and guidance for staff Monthly data quality improvements meetings with associated task groups established New Business Support structure will provide capacity within IM&T to support and guide 	3	4	12	Head of Business Services Children & Family Services During 2019/20

				<p>Leicestershire</p> <p><u>Financial</u></p> <ul style="list-style-type: none"> Inability to effectively make financial plans and therefore meet savings targets (i.e. MTFS) and plan sustainable service delivery in the future <p><u>Reputational</u></p> <ul style="list-style-type: none"> Potential for poor inspection outcomes Negative publicity for the Council and department 		<ul style="list-style-type: none"> Ongoing training and development (Frameworki and Capita) - resource for this post currently (Dec 16) in discussion with L&D Additional capacity (consultant) involved in improving practice guidance for using IMS. Mosaic reporting group established and working through reporting requirements. L&D resource being moved to CFS for closer working with IM&TT. 										services in data quality and the structure has also provided capacity within services to improve data quality			
4. Commissioning & Procurement																			
All	4.1	If the Authority does not obtain the required value and level of performance from its providers and suppliers then the cost of services will increase and service delivery will be impacted	<ul style="list-style-type: none"> Lack of robust contract management /performance measures for in-house services Robustness of supply chain Reduced funding and resources Staff turnover leading to lack of continuity in contract management Insufficient investment in contract management skills and competencies 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Business disruption due to cost and time to re-tender the contract Standards/quality not met resulting in reduced customer satisfaction Relationships with providers/suppliers deteriorate <p><u>People</u></p> <ul style="list-style-type: none"> Additional workload where disputes arise <p><u>Reputation</u></p> <ul style="list-style-type: none"> Customer complaints <p><u>Financial</u></p> <ul style="list-style-type: none"> VfM/ Efficiencies not achieved Increased costs as LCC has to pick up the service again Unfunded financial exposure 	Director – Corporate Resources & Transformation / Assistant Director – Corporate Services	<ul style="list-style-type: none"> Departments currently undertake management and monitoring of contracts Commissioning & Procurement Strategy in place with agreed framework for measuring progress against key principles to identify issues at earliest opportunity New governance arrangements in place Contract Management Framework available in the Toolkit Guidance on setting and monitoring KPI for contract managers has gone live on toolkit Recruitment completed for Commissioning Support Unit to strengthen contract management arrangements LLR and LCC Commissioning Programmes completed 	5	3	15	Treat	<ul style="list-style-type: none"> Implement improved KPIs for all contracts Implement training for all contract managers Complete key supplier cost reduction programme and achieve savings target for 2018/19 	4	3	12	Head of Commissioning and Procurement Support Corporate Resources During 2019/20				

E&T	4.2	If Arriva is successful in its concessionary travel appeal then reimbursement costs for the total scheme could increase significantly		<ul style="list-style-type: none"> Potential for significant additional expenditure or contraction of the commercial bus service network 	Director E&T	<ul style="list-style-type: none"> Current mitigating actions include an appeal response to the DfT on 29/1/18 (use of external consultant to support). Submission of evidence has refuted all claims for additional costs by Arriva save for reclassification of service types. The timescale for appeal determination is possibly up to 18 months Using expert consultant resource to supplement local submission of data to the DfT to dispute the appeal detail provided by Arriva 	5	3	15	Treat	<ul style="list-style-type: none"> Defend and submit appeal detail to DfT There is a further risk that if the approach adopted by Arriva is found to be appropriate then the county is likely to be exposed to a further financial risk from other operators. 	5	2	10	Assistant Director - Highways Environment & Transport During 2019/20
5. Safeguarding															
CFS	5.1	Historic: If as a result of a concerted effort to explore abuse by the Independent Inquiry into Child Sexual Abuse (IICSA) and Police Operations, then evidence of previously unknown serious historical issues of child sexual exploitation (CSE) or abuse is identified.	Historical Concerted effort to explore historical exploitation and abuse in response to the Independent Inquiry and Police Operations	<u>Service Delivery</u> <ul style="list-style-type: none"> Need to review and redesign current service in the light of lessons learnt <u>Reputation</u> <ul style="list-style-type: none"> Potential adverse media and political risk <u>Financial</u> <ul style="list-style-type: none"> Increased cost of settling claims and service redesign 	<u>Reputation</u> Chief Executive <u>Reputation & Service Delivery</u> Director - Children & Family Services <u>Legal</u> Director of Law & Governance <u>Financial</u> Director - Corporate Resources	<u>Historical</u> <ul style="list-style-type: none"> Established Independent Inquiry Strategic Governance Group to oversee planned investigation and information gathering Pro-active engagement with the Independent Inquiry Refreshed Communication Strategy and Implementation Plan Appointed Legal Support and Counsel Member briefings held (x2) Partnership governance is in place CSE Executive Role and Terms of Reference revised and agreed 	5	5	25	Treat	<u>Historical</u> <ul style="list-style-type: none"> Establish close working relationships with other authorities Further revision of Comms Strategy Review of current internal governance arrangements Continue to work closely with the IICSA team Set funding aside to meet the costs of the inquiry Review activity in the light of the delay to the Janner investigation public hearings Carefully plan activity and monitor progress and expenditure 	4	5	20	<u>Reputation</u> Chief Executive <u>Reputation & Service Delivery</u> Director - Children & Family Services <u>Legal</u> Director of Law & Governance <u>Financial</u> Director - Corporate Resources Ongoing
6. Brexit															
All	6.1	Uncertainty and significant knock on consequences on public services (including potential legal, regulatory, economic and social implications), and the local economy as a	Uncertainty and impact on local government	<u>Service Delivery</u> <ul style="list-style-type: none"> Uncertainty around ESIF and other funding streams Uncertainty around any potential changes to government policy following the formation of a new government. Lack of steer for local policy making. Impact on the Economy due to uncertainty during the negotiation period. Impact on staffing in commissioning contracts 		<ul style="list-style-type: none"> Monitoring post Brexit negotiations and national policy direction and maintain an overview of the developing situation Working with partners to maximise benefit from existing European bids and programmes Review of significant policies relevant to the management of these risks (e.g. investment policy) to ensure they are fit for purpose in the new 	4	4	16	Treat	<ul style="list-style-type: none"> Establish LCC and LRF 3C arrangements; Regular reporting to CMT and Elected Members, MHCLG and LGA 	4	4	16	Assistant Chief Executive Chief Executives Ongoing

		result of the United Kingdom leaving the European Union		<p>involving high numbers of non UK citizenship e.g. home care and cleaning.</p> <p><u>Legal</u></p> <ul style="list-style-type: none"> Changes in UK/EU legislation e.g. procurement, employment <p><u>Financial</u></p> <ul style="list-style-type: none"> Uncertainty around EU funding, inward investment Further austerity measures and demand pressures <p><u>People</u></p> <p>Impact on incumbent workforce who have non UK citizenship e.g. agency workers</p>	CE/Directors	<p>environment</p> <p>Assess any Impact of the risk assessment on the assumptions used to generate the medium term financial plan</p> <ul style="list-style-type: none"> Access a diverse range of external funding opportunities Reflect Brexit Impact in revised Enabling Growth Plan Develop policy driven by local needs Gather intelligence and model future scenarios relating to Brexit impacts to inform future policy. the LLEP's Business Board has agreed to monitor Brexit impacts (both negative and positive) on the economy and the Economic Growth Team will undertake this work for the LLEP 									
7. People															
CR	7.1	If sickness absence is not effectively managed then staff costs, service delivery and staff wellbeing will be impacted	<ul style="list-style-type: none"> Policy and Procedures are not in place Lack of training for managers Monitoring and reporting systems are inadequate or not in place Support mechanisms not in place 	<p><u>Service delivery</u></p> <ul style="list-style-type: none"> Increased pressure on services to provide same/more with less Increased requirement for temporary/casual staff. <p><u>People</u></p> <ul style="list-style-type: none"> Negative impact on staff if they perceive absences are not managed properly Loss of productivity <p><u>Reputation</u></p> <ul style="list-style-type: none"> Avoidable costs to LCC in difficult times <p><u>Financial</u></p> <ul style="list-style-type: none"> Increased staff costs 	Director of Corporate Resources	<ul style="list-style-type: none"> Revised Policy in place. HR advice being provided to Managers. Training for Managers in place. Comprehensive monitoring and reporting (Manager; Depts, DMT; CMT) to identify issues/solutions. Support from Mental Health First Aiders being utilised. 	4	4	16	Treat	<ul style="list-style-type: none"> Targeted work with managers and services (Intensive Support Project). Develop, agree and implement Increment Policy (on hold) Implementation of absence management triage project - impact reporting at 3; 6 & 12 mths before full roll out. Pilot has ended – not taken forward Revise Absence Management Policy – consultations underway with Trade Unions Revise Terms and Conditions 	4	3	12	Assistant Director, Corporate Services (Corporate Resources) During 2019/20
All	7.2	If Depts. are unable to recruit and retain skilled staff promptly (social workers and team managers) then some services will be over-reliant on the use of agency staff resulting in budget overspends and poor service delivery	<ul style="list-style-type: none"> No Recruitment or Retention Strategy 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Children and young people potentially left at risk of harm <p><u>People</u></p> <ul style="list-style-type: none"> Additional training in Signs of Safety for agency workers Additional time required for permanent staff to support agency staff Recruitment and retention of staff <p><u>Reputational</u></p> <ul style="list-style-type: none"> The Local Authority is not seen to support staff through impact on recruitment and retention <p><u>Financial</u></p>	Director of Children & Family Services	<ul style="list-style-type: none"> Monthly reporting on agency staff and associated costs Working with Corporate communications on a new Social Worker recruitment campaign Monthly reporting on caseloads and supervision policy Completed a growth bid and identified establishment for additional staff In some areas market premia payments are being made 	5	3	15	Treat	<ul style="list-style-type: none"> Development of a recruitment and retention strategy Continue actively recruiting to permanent posts Continue supporting Social Workers, e.g. Newly Qualified Social Workers, through recruitment and retention strategy Working with Agency staff to support them to become permanent members of staff In house training programme being developed in Adults and Communities. 	5	3	15	Assistant Directors Children's Social Care and Adults and Communities During 2019/20

			<ul style="list-style-type: none"> Additional budget costs leading to overspend Required savings targets not met 														During 2019/20
A&C	7.3	If the department does not have a sustainable external workforce to work with it may be unable to meet its statutory responsibilities.	<ul style="list-style-type: none"> Recruitment and retention planning not in place No communication with homecare providers 	<ul style="list-style-type: none"> The Department will not be able to meet its statutory responsibilities 	Director Adults and Communities	<ul style="list-style-type: none"> A small external workforce team has been appointed for a two-year period, ending spring 2020, to work with the authority's providers to target more effective recruitment and retention through a range of interventions. 	4	4	16	Treat	<ul style="list-style-type: none"> Revised workforce development plan is being drafted. New governance arrangements being considered 	3	3	9		Assistant Director Adults and Communities	During 2019/20
8. Business Continuity																	
CR	8.1	If suppliers of critical services do not have robust business continuity plans in place, the Council may be unable to deliver services.	<ul style="list-style-type: none"> No BC framework in place i.e. definition of a critical supplier or identification of critical services. Failure to develop a BC Plans Guidance or communication not in place No monitoring of supplier or business continuity compliance for critical services Contract specifications are not clear as to BC arrangements 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Delays in services may place vulnerable people at risk Re-work /re-planning due to clash of priorities <p><u>People</u></p> <ul style="list-style-type: none"> Council unable to support people in receipt of service to adverse outcomes for individuals <p><u>Reputation</u></p> <ul style="list-style-type: none"> Damage from negative publicity and loss of trust with the public <p><u>Financial</u></p> <ul style="list-style-type: none"> Supplier BC failure results in additional costs to source alternative providers 	Assistant Chief Executive Chief Executive's Department	<ul style="list-style-type: none"> Contract Management and compliance monitoring in place. Improved Frameworks for commissioning services detailing BC requirements. 	5	3	15	Treat	<ul style="list-style-type: none"> Complete an assurance exercise to ensure all critical contracts have BCP in place. Not all contracts are procured through the Corporate Commissioning Unit (CCU). A detailed report on current practices and concerns to be submitted to Chief Officers seeking guidance on further action Improve and rigor of guidance 	5	3	15		Head of Policy and Strategy (CE) Resilience & Business Continuity Manager	During 2019/20
9. Environment																	
E&T	9.1	If the ash dieback disease causes shedding branches or falling trees then there is a possible risk to life and disruption to the transport network	<ul style="list-style-type: none"> Lack of preparation to deal with the impact of Chalara i.e. Awareness, Planning, Action and Recovery 	<ul style="list-style-type: none"> Potential for serious physical harm/damage to property Potential for insurance claims against council Ecological/landscape impacts Reputational damage Financial – additional resources to undertake tree inspections, replanting strategy, availability of qualified tree surgeon to undertake work 	Director of Environment and Transport	<ul style="list-style-type: none"> Cross departmental project team set up to devise approach to council's response to Ash Dieback including associated costs for implementation. Assessment of current extent and progress of disease in Leicestershire. Ash Dieback action plan produced and reported to Cabinet in July 2018. 	5	3	15	Treat	<ul style="list-style-type: none"> Implementation of the cross departmental ash dieback action plan (to timescales included in the plan) is now underway. 	5	2	10		Assistant Director Highways & Transport Environment & Transport	During 2019/20

E&T	9.2	If there was a major incident which results in unplanned site closure (e.g. fire) then the Council may be unable to hold or dispose of waste.	<ul style="list-style-type: none"> Lack of preparation to deal with the impact. 	<ul style="list-style-type: none"> Waste not being collected Negative publicity Increased costs 	Director of Environment and Transport	<ul style="list-style-type: none"> Management of landfill contracts – contract meetings, renewals, etc Business Continuity Plan in place CSWDC arrangements in place Delivered programme of improvements at Loughborough WTS 	5	3	15	Treat	<ul style="list-style-type: none"> Identify potential site(s) for new Waste Transfer Station (WTS) and commence work on planning permission. Conclude future arrangements (CSWDC) Review of BC plan to reflect any service changes 	4	2	8	Assistant Director Environment & Waste During 2019/20
10.1 Partnerships															
C&FS	10.1	If the Local Authority and partners do not succeed in developing an inclusive culture across all schools, education providers and partner agencies (including the Parent Carer Forum), then it will be difficult to secure parental confidence in the ability of the 'whole system' to meet the needs of the large majority of children with SEND in a mainstream school context		<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Increased time spent addressing complaints and attending SEND Tribunals <p><u>People</u></p> <ul style="list-style-type: none"> Children, young people and families perceive that the quality of provision within Leicestershire is not appropriate to meet leave. <p><u>Reputational</u></p> <ul style="list-style-type: none"> Negative publicity for the local authority (possible media coverage) <p><u>Financial</u></p> <ul style="list-style-type: none"> Increased resource needed to deal with complaints and tribunals 	Director of Children & Family Services	<ul style="list-style-type: none"> Appropriate procedures in place to deal with complaints High Needs Development Plan includes range of actions and activities to develop the right conditions for inclusion Communication Strategy to promote positive messages, including, for example, video of new provisions and service user views 	4	4	16	Treat	<ul style="list-style-type: none"> Continued implementation of High Needs Delivery Plan, including Comms Strategy and development of the Local Offer Oversight of HNBP by the High Needs Board, reporting through to SEND Board to ensure partnership buy-in Continued dialogue with parent Carer Forum and development of co-ordinated activity to win 'hearts and minds' 	3	2	6	Head of Service SEND & CDS Children and Family Services During 2019/20

Department

A&C = Adults & Communities
 CE = Chief Executives
 CR = Corporate Resources

E&T = Environment and Transport
 PH = Public Health
 All = Consolidated risk

C&FS = Children and Families Services

Risk Removed from the Corporate Risk Register

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
C&FS	1.2	Local Authority legal requirements to meet deficit budgets from maintained schools becoming sponsored academy, and pressure from Sponsors to meet repair costs.	16	Agreed by Corporate Governance Committee	17 November 2015
E&T	5.2	LLEP-insufficient funding for transport schemes to deliver economic growth and LTP3 /Strategic Plan. Risk regarding match funding requirement for the Council	20	The risk has been downgraded from red to amber as the likelihood has reduced from 4 to 2 following the confirmation of future local growth funding in the Autumn 2015 Statement (further details to follow in the new year). As the risk score has been revised from 20 to 10, this risk has been removed from the Corporate Risk Register but it will continue to be monitored through the Environment & Transportation Departmental Risk Register.	19 February 2016
E & T	4,1	Impact of an increase in unplanned and speculative local developments to address the shortfall in the five year housing supply which could have an adverse impact on the functioning of the transport network.	15	The risk has been downgraded from red to amber as the likelihood has been reduced from 5 to 4 as a result of Districts having moved through the consultation phases and firmer programmes are now in place for publishing Core Strategies. LCC is also starting discussions with Districts on possible cumulative impact studies. As the risk score has been revised from 15 to 12, this risk has been removed from the Corporate Risk Register but it will continue to be monitored through the Environment & Transportation Departmental Risk Register.	13 May 2016
A&C	2.1	Care Act 2014 Funding Risk for 2016/17 and beyond due to Care Act Phase 2 implementation delayed by Ministers until April 2020	16	The current risk score has been reduced from 16 to 12 as a result of ongoing implementation of the Adult Social Care restructure, which has enabled the department to ensure the risk of unfunded posts, is significantly reduced. The Commissioning and Quality Action Plan has been completed and the Care Pathway and Business Support action plans are in progress. The risk will continue to be monitored as part of the A&C Departmental Risk Register	26 May 2017
C&FS	4.1	Supporting Leicestershire Families (SLF) - If LCC is not able to provide adequate outcomes data to partners then partner contributions to the pooled budget may not continue.	15	The risk has been reviewed (Assistant Director – Education & Early Help) and the current risk score re-evaluated and reduced so that this is now being managed within the Supporting Leicestershire Families Delivery Plan. The risk has been reduced as all partners have agreed continued funding and further work has been undertaken on outcomes data.	26 May 2017
C&FS	1.7	If suitable placements are unavailable for unaccompanied asylum seeking children (UASC) who arrive in the County, either planned or unplanned, as a result of : <ul style="list-style-type: none"> potential mandatory requirement to engage in the National Transfer Scheme; resettlement of UASC from Calais in line with the requirements of Dublin III agreement and the Dubs amendment; continuing response to spontaneous cases of UASC arriving in the County then there will be significant pressures on meeting the department's statutory duties to UASC as well as financial pressures in meeting their complex needs.	20	The UASC team is now established and the numbers of UASC are not as high as initially forecast. The current risk score as been reduced from 20 to 12. The risk will continue to be monitored as part of the Children & Families Services Departmental Risk Register	22 September 2017
CR	3.1	If there is an outage ICT systems may not be able to be restored quickly and effectively which could have a major impact on service delivery	15	The further mitigating actions have been completed and the current risk score as been reduced from 15 to 12. The risk will continue to be monitored as part of the Corporate Resources Departmental Service Risk Register.	22 September 2017
CR	3.4	If there is insufficient capacity to provide information technology solutions then service improvements and savings will not be achieved.	16	The current risk score has been reduced from 16 to 12 as a result of ongoing implementation of the New Target Operating Model and improved resource planning processes. The risk will continue to be monitored as part of the Corporate Resources Departmental Register	22 September 2017
CFS	5.1	Safeguarding- Current Risk element If as a result of a concerted effort by the IICSA and Police Operations there is a significant increase in identified cases, then the Council does not have the capacity to meet the demand on the CSE resources	25	Note that whilst the 'Historical' risk and score is to be retained unchanged in the CRR, the IICSA ¹ Strategy and Governance Group proposed (6 December 2017) that the 'Current' risk (<i>If as a result of a concerted effort by the IICSA and Police Operations there is a significant increase in identified cases, then the Council does not have the capacity to meet the demand on the CSE resources</i>) should be removed from the CRR, but nevertheless retained (and reworded) in the C&FS Departmental Risk Register. This suggestion is based on the limited connection between historical allegations and the current CSE service which is now established within the departmental budget in terms of costs and funding. ¹ The Independent Inquiry into Child Sexual Abuse	29 January 2018

CE	2.5	Health & Social Care Integration (BCF) If Health and Care partners fail to deliver the local integration programme in accordance with national Better Care Fund (BCF) policy, within the financial envelope of the BCF pooled budget and by meeting national metrics, then elements of BCF funds could be withheld.	16	The level of financial risk was reduced after a letter was received from the Ministry of Housing, Communities and Local Government (formerly the Department for Communities and Local Government) and Department of Health and Social Care (formerly – Department of Health) Secretaries of State on 6th December 2017 to confirm that due to the improved the DTOC (Delayed Transfer of Care) performance that there will be no impact on the Improved Better Care Fund – (IBCF) allocation for 2018/19. The risk will be reviewed following the publication of the National BCF Operational Guidance for 2018/19 which is due to be published soon. The current risk score has been re-evaluated and reduced (from 16 to 9)	23 April 2018
All	3.3	ICT, Information Security (Business Intelligence) If there is a failure to provide business intelligence required to support transformation, inform commissioning, and strategic planning and to complete statutory returns then policy will not be evidence based.	15	The current risk score has been reduced from 15 to 12 as good progress has been made across a number of areas: <ul style="list-style-type: none"> • Data and Business Intelligence Strategy and Implementation Plan in place. • Ongoing support for front line managers in managing data and provision of Tableau data quality reports to identify weaker areas. Tableau self-service dashboards rolled out across many areas of the council. BI Development team established and Business Partners in post to manage relationships with each Department and with IT. Ongoing work to improve data quality issues. Many performance dashboards have an accompanying data quality dashboard. The risk will continue to be managed within the CE Departmental Risk Register.	23 April 2018
E&T	9.1	Health & Safety (SEN risk assessments) If the Service is unable to recruit appropriate skills / resources to implement Audit recommendations then service users' safety is at risk as well as financial and reputation consequences.	15	All outstanding SEN transport risk assessments were completed by the end of January 2018. Processes have been embedded to ensure assessments are revisited with increased staff resource focussing on planned review updates. The Current Risk Score has been reduced to 5 and the risk will be managed at Departmental level.	23 April 2018
E&T	10.1	Winter Maintenance The absence of a depot in the North East of the County may impact on the delivery and the cost of the Winter Maintenance programme for 2019/2020	16	The Department has reduced the impact and likelihood scores leading to a reduction in the current risk score from 16 to 12. Property Services are progressing with completion of planning consent for Sysonby farm by March 2019. The Department are working on a build programme to deliver facility before end of September 2019. Removal of the risk from the CRR at this point was queried because of the length of time to obtain planning consent but assurances were received from the Director that the risk will be managed within the Environment and Transport Departmental Risk Register	25 July 2018
A&C	2.4	Domiciliary Care (HTLAH) If the domiciliary care market does not have the capacity to provide high quality services to local residents within the county, then people may not receive services to meet their needs.	16	The HTLAH project is now closed. This risk was closed and formulated into a market sustainability risk for the department. The current risk score for social care market is 12 and the risk is being managed within the A&C Departmental Risk Register.	25 July 2018

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