















Dept./ Function	CRR Risk No	Risk Description	Current Risk Score (incl. changes)	Update Based on risks discussed at department's management teams during October 2020	** Direction of Travel (Residual Risk Score over the next 12 months)
Coronavirus – COVID-19					
All	1	If the Council does not plan, prepare and respond adequately to future developments in relation to both the COVID 19 pandemic and recovery to a “new normal” level of services, it could suffer long lasting economic, environmental, societal and technological challenges and miss opportunities.	20 15/L4	<p>Following detailed information provided at the 24 July Committee,</p> <ul style="list-style-type: none"> The Cabinet most recently received an update on the Recovery Strategy work on October 20th. Recovery activity is taking place alongside, and in close co-ordination with, response work recognising the length and complexity of the Covid19 incident Regular updates are communicated to Members, and the public continues to be informed through the Council's website. Regular COVID-19 senior manager briefings continue to be provided. All County Council buildings and services are COVID-secure, with regular monitoring, and it has been ensured that clear guidance is in place for managers and staff to work safely and productively. The wellbeing of staff is being supported through new initiatives such as the introduction of a working from home allowance for staff and regular wellbeing surveys and toolkits for managers. The Council worked closely with Leicester City Council, Public Health England and other agencies to respond to the effects of the local lockdowns that affected the City and parts of the county and learning from this has informed the Council and LRF response to the recent tiered and national lockdowns. The Council has established a £750,000 Covid-19 Business Recovery Grant which has already provided substantial immediate and upfront funding to support businesses recovering from the impact of the pandemic. This followed on from the earlier establishment of a Covid19 Community Grants scheme to the value of £1.5m 	 <p>Expected to remain red/high</p>





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1. Medium Term Strategy					
AI	1.1	Risk around the MTFS including the ability to deliver savings through service redesign and Transformation as required in the MTFS, impact of the living wage and other demand/cost pressures including legal challenges.	25 15/L5	<p><u>MTFS</u></p> <p>The overall financial impact of the pandemic remains very difficult to quantify at present, as does the level of further Government support. It is expected that the tax losses and cost increases will continue for several years, increasing the County Council's challenge.</p> <p>An outline approach to revising the MTFS was reported to Cabinet in September. Expenditure controls have been implemented to help to manage the financial pressures until firm savings plans can be put in place</p> <p><u>Transformation</u></p> <p>As well as leading on interim service delivery planning as outlined in paragraphs 7 to 12 in the report, transformation work will continue to support services in limiting the financial impact of service delivery and recovery activity. The Transformation Unit is also working alongside other support services, including Strategic Finance and Business Intelligence, to help identify further savings opportunities, including through departmental continuous improvement and efficiency initiatives.</p>	 Expected to increase high/red
CE	1.3	If the Council fails to maximise developer contributions, then there could be a failure to fund corporate infrastructure projects.	16 14/L4	<p>Planning application numbers have continued to remain stable during the pandemic and this has allowed developer contributions to be secured in S106 agreements. Income has reduced this year as a result of a slow-down in house building, which is typical during an economic downturn. To date, very few requests for deferred payments from housebuilders have been received.</p>	 Expected to remain high/red




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C&FS	1.5	<u>Social Care:</u> 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.	25 15/L5	<ul style="list-style-type: none"> Operational Placements forecast, inclusive of asylum seekers spend is £3 m overspend 16 plus and Independent Fostering Agency (IFA) placements; current average weekly costs are considerably higher than MTFS assumptions Over the last 6 months, a number of children have required residential placements as a result of their very complex needs. Changes to case law regarding parent-child separation and court directives are also have a significant adverse impact on the current budget situation. 	 Expected to remain high/red
C&FS	1.6	<u>Education</u> If demand for Education Health and Care Plans continues to rise, and corrective action is not taken, there is a risk that the high needs deficit will continue to increase.	16 14/L4	<ul style="list-style-type: none"> Phase 1 of the programme expects to deliver 60% of all activity by the end of the calendar year. Phase 2 of the programme is being scoped to encapsulate further activity moving into 2021. SEN support handbook will be signed off by the Board and full comms plan in place to ensure effective roll out. Sufficiency projection work ongoing. New provisions opening from September 2020 onwards are having some positive impact, but significant demand continues First Cycle of the Quality and Learning Framework is now complete Review of the highest cost independent provisions is underway 	 Expected to remain high/red
CR	1.7	If the Council is not compliant with the HRMC IR35 regulations regarding the employment of self-employed personnel, then there is a risk of large financial penalties	20 15/L4	<ul style="list-style-type: none"> Work on Oracle Fusion is underway – EMSS can flag and put on hold on payment until IR35 decision agreed Corporate Support Unit have been updated on IR35 requirements IR35 has been included in guidance on spending controls Regular engagement with Departments and Heads of Service to improve understanding Departments are starting to provide more information on their contractors 	 Expected to remain red/high



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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.	25 I5/L5 (increase) From 16	There have been two new further spontaneous arrivals. The Council is not participating in the national transfer scheme and an additional isolation bid has been commissioned to manage the risk of COVID-19 infection spread for new arrivals.	 Expected to remain red/high
	1.10	The Council is unable to meet the financial investment required to deliver infrastructure in support of housing development committed in districts Local Plans and that where this contribution can be recouped through s106 agreements secured by District Councils, the funding doesn't meet the full cost and is secured long after the commitment is made.	25 I5/L5	Whilst the financial risks remain high, the County Council is developing effective partnerships with some district councils which will help mitigate these risks in the districts	 Expected to remain high/red
2. Health & Social Care Integration					
All	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.	16 I4/L4	Development of an Integrated Care System in LLR continues but uncertainties due to the pandemic are impacting in terms of demand for services, the integration of health and care services, and confirming governance arrangements	 Expected to remain high/red

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All	2.3	Challenges caused by the Welfare Reform Act 2012 and the Welfare Reform and Work Act 2016.	16 14/L4	<p>The Severe Disability Premium (SDP) Gateway' which requires some disabled people to claim legacy benefits such as, Income-related Employment and Support Allowance and Housing Benefit rather than Universal Credit will be removed from 27 January 2021.</p> <p>The removal of the seven waiting days for Employment and Support Allowance so that people can claim from the first day of incapacity has been extended to 12 May 2021 for people infected or contaminated with coronavirus, isolating to prevent the spread of coronavirus or caring for a child with coronavirus.</p> <p>The pilot of managed migration to Universal Credit remains suspended due to the impact of the coronavirus outbreak and no announcements have been made about any further steps.</p> <p>Provisions enabling individuals on temporary release from prison due to the outbreak of coronavirus to claim means-tested benefits including Housing Benefit, Income Support, Income-related Employment and Support Allowance and Universal Credit have been extended to 13 March 2021.</p>	 Expected to remain high/red
3. ICT, Information Security					
CR	3.6	If the ERP system cannot accommodate all of the Council's requirements, then it may delay implementation and extra resources will be required to develop work arounds	20 15/L4	<p>The Finance modules of Oracle Fusion revised go-live date is 16th November 2020. The HR modules will now be going live in January 2021.</p> <p>EMSS had its first cohort (CH-1) of external schools/academies going live in October 2020.</p>	 Expected to remain high/red
CR	3.7	If the Council does not manage its exposure to cyber risk, then decisions and controls cannot be taken to mitigate the threat of a successful cyber-attack.	16 14/L4	<p>Workshop completed with I&T Team Leaders on draft cyber specific incident response plan. Further work taking place to align the cyber response plan with the I&T Major Incident Process. IT Security Working Group created, with project management support, to address issues from IT Health Check Report. PSN certification renewal will follow once report issues have been reviewed, prioritised and remediation worked estimated.</p>	 Expected to move to Medium/Amber

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4. Commissioning & Procurement					
E&T	4.2	If Arriva is successful in its concessionary travel appeals and the method of apportioning between the City and the County is changed then reimbursement costs for the total scheme could increase.	15 New 15/L3	<p>Although the appeal by Arriva to the Department for Transport (DfT) for 2017/18 was successful for LCC in that it was not required to pay any money to Arriva in respect of that appeal, the DfT required LCC to review the way it allocates routes and passengers on urban and rural services. LCC's consultants that manage the scheme were engaged to review the apportionment between Leicester City Council and LCC. The City Council has disputed the methodology applied by LCC's consultants. The City Council is due to share its data model with LCC officers. There could be a risk of increased (proportionate) cost to LCC.</p> <p>Current concessionary travel usage is a fifth of the pre-covid level, but LCC has been urged by government to continue payments to operators at pre-covid levels. Concessionary travel is intrinsically linked to local bus services and therefore reducing the reimbursement to operators could consequently mean an increase in the significant burden on the council to support the bus network. LCC is currently awaiting guidance on future funding from the DfT. Advice from its appointed consultants has identified that LCC should continue to provide concessionary reimbursement at 100% of pre-Covid levels to protect the local bus network, until guidance from the DfT advises otherwise.</p>	 Expected move to Medium/ Amber
5. Safeguarding					
C&FS	5.1	<u>Historical:</u> 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.	25 15/L5	<p>The Public Hearing for the IICSA's Janner Investigation has now come to an end. The Council's evidence was heard in both open and closed sessions, along with evidence from other Core Participants including Leicestershire Police, the CPS and the Labour Party.</p> <p>The Investigation Report is not expected to be published until Autumn 2021</p>	 Expected move to Medium/ Amber

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 result of the United Kingdom leaving the European Union.	16 I/4/L4	The Government has issued its Reasonable Worst Case Scenario (RWCS) planning assumptions which assess the impact of No Deal Exit on a range of issues, such as food and medicine supply, transport, immigration, community cohesion etc. The council and other statutory partners are reviewing contingency plans against the RWCS. Mitigation will be put in place as required.	 Expected to remain high/red
7. People					
CR (ALL)	7.1	If sickness absence is not effectively managed then staff costs, service delivery and staff wellbeing will be impacted.	16 I4/L4	Initial indications are that throughout April, May, June and July, sickness absence levels reduced, even when taking into account COVID-19 related absence. The Council is prioritising wellbeing, ensuring that the offer is relevant for the current context. There are regular staff bulletins and a range of support for managers is available. E.g. managing remotely.	 Expected move to Medium/ Amber
All	7.2	Recruitment and retention - If departments are unable to recruit and retain skilled staff promptly then some services will be over reliant on the use of agency staff resulting in budget overspends and poor service delivery.	16 I4/L4 15 I5/L3	<u>A&C</u> No substantive changes to the previous reported position in the intervening period with mitigation actions continuing - Market Premium, wellbeing, and workforce activity <u>C&FS</u> The Department is continuing to have success in relation to recruitment. Continuing risk is reliance on agency workers whilst filling growth posts.	 Expected to remain high/red
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.	15 I5/L3	Difficulties in recruitment and retention in the social care workforce is increasing due to the impact of the pandemic as social care is not seen as a desirable career choice. The availability of a flexible workforce has been impacted by the pandemic due to restrictions on working across more than one location. The department is assisting providers with marketing, advertising and providing a range of advice and guidance.	 Expected to remain high/red

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8. Business Continuity					
CE	8.1	If suppliers of critical services do not have robust business continuity plans in place, the Council may not be able to deliver services.	15 15/L3	Following the issuing of the RWCS, services are reviewing and updating their Business Continuity plans.	 Expected to remain high/red
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.	20 15/L4	The 2020 ash dieback survey was restricted due to the need to carry out walked rather than driven inspections linked to COVID. Initial results suggest that levels of ash dieback are higher than in previous years.	 Expected to remain red/high
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.	20 15/L4	Kerbside collected tonnages of household residual waste and dry recyclables have decreased from levels seen in the first four months but remain around 10% higher than would be expected for September. Our waste transfer stations have had some infrastructure issues which are requiring additional remedial works; temporary arrangements have been made but it does require on-going additional management time. Tonnages of other waste so far this year remain at or a little below the expected pre-Covid 19 levels. The Council has opened all its recycling sites now which removes some operational flexibility to manage increased volumes or staff shortages, but the booking system is helping mitigate this. Planning permission has been submitted for the proposed waste transfer station at the Bardon site; this will assist in mitigating this risk in the medium term.	 Expected move to Medium/ Amber

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E&T	9.4	If climate change impacts happen more frequently or at a greater intensity than anticipated, then there is the risk that County Council services will be negatively affected	16 14/L4	Climate Change Risk Registers are being reviewed. Mitigation measures will be identified as part of the Climate Change Risk Register review that will seek to the reduce impact on council services.	 Expected to remain high/red
10. Partnerships					
C&FS	10.1	If the Local Authority and its 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.	16 14/L4	This risk has been absorbed into C&FS – Risk 1.6. This will be reflected in the next update.	 Expected to remain high/red

Department

A&C = Adults & Communities
CE = Chief Executives
CR = Corporate Resources
C&FS = Children and Family Services

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

**The arrows explain the direction of travel for the risk, i.e. where it is expected to be within the next twelve months after further mitigating actions, so that:

- A horizontal arrow shows that not much movement is expected in the risk;
- A downward pointing arrow shows that there is an expectation that the risk will be mitigated towards 'medium' and would likely be removed from the register;
- An upwards pointing arrow would be less likely, but possible, since it would show an already high scoring risk is likely to be greater.

RISKS REMOVED SINCE JULY 2019

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
C&FS	3.7	If the quality of data in Children and Families (C&FS) Information Management System is too low to satisfy statutory requirements (e.g. data returns) this will impact upon service delivery	16	<p>The current risk score has been downgraded from 16 to 12. - tableau reports have been embedded; and are now accessible to Team Managers and Business Support. This is led by two Heads of Service who jointly oversee quality meetings.</p> <p>This risk has been removed from the Corporate Risk Register, but it will continue to be monitored through the Children & Family Services Departmental Risk Register.</p>	26 July 2019
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	16	The level of reserves is sufficient to reduce the current risk score from 16 to 12 and the risk will be managed and monitored at Departmental level via the Risk Register - Corporate Resources.	1 November 2019
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.	15	<p>Resources to address highest assessed physical record risks now being put in place (priorities agreed with Chief Officers in summer 2019). Risk levels regularly monitored by central team. Email storage / destruction approach agreed at Information Governance Board (September 2019).</p> <p>The current risk score has been reduced from 15 to 12 and the risk will be managed and monitored at Departmental level via the Risk Register -Corporate Resources.</p>	1 November 2019
CR	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.	15	A review of the risk has resulted in the current risk score reduced from 15 to 12 and the risk will be managed and monitored at Departmental level (Corporate Resources).	1 November 2019

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
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.	16	The Department has reviewed the risk and reduced the current risk score from 16 to 12. Planning and timescales for action further progressed with domiciliary care to be re-commissioned in 2021 and residential care fee increase coming into effect from 2019/20. The risk will continue to be monitored as part of the A&C Departmental Risk Register.	Removed 1 November 2019 Re-instated 31 January 2020
CR	3.2	If the Council has a GDPR breach, then there could be a risk of significant liability claims	15	Significant work has taken place to mitigate the risks around GDPR. Compliance continues to be monitored and strengthened governance arrangements are now fully implemented to monitor and identify any emerging risks. The Current Risk Score has been reduced from 15 to 12 and the risk will continue to be monitored through the Corporate Resources Departmental Register.	31 January 2020
E&T	4.2	If Arriva is successful in its concessionary travel appeal, then reimbursement costs for the total scheme could increase significantly.	15	Discussions with Arriva are ongoing. The risk will continue to be monitored as part of the E&T Departmental Risk Register.	31 January 2020
E&T	9.3	If the Council is not able to deliver on the commitments it has made in its climate emergency declaration due to the complexity and difficulty of some of the decisions and actions that will need to be made, then this will impact on the Council's ability to fulfil its leadership role and have financial and reputational consequences.	15 I5/L3	An updated Environment Strategy and Action Plan was agreed by the Council on 8 July 2020. The Council now has an up to date statement of its environmental priorities and objectives which is aligned with its climate emergency declaration and its framework for action to achieve the commitments on the Council's own carbon emissions and against which its performance can be objectively assessed. The current risk score has been reduced from 15 to 12 and the and the risk will continue to be monitored through the E&T Dept Register.	25 November 2020

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