





CORPORATE RISK REGISTER – UPDATE ON RISKS


APPENDIX




Dept./ Function	CRR Risk No	Risk Description	Current Risk Score (incl. changes)	Update Based on risks discussed at department’s management teams during August 2022	** Direction of Travel (Residual Risk Score over the next 12 months)
Coronavirus – COVID-19					
All	A	<p>If the Council does not on an ongoing basis plan for, prepare and respond to current and future consequences of the COVID 19 pandemic, then the Council and its communities could suffer long lasting economic, environmental, societal, technological challenges and missed opportunities.</p> <p>Note: consideration has been given to re-defining this risk into short and longer term impacts but it is felt that this is not required at the current time.</p>	<p>16</p> <p>14/L4 (Decrease from 20)</p>	<p>The level of risk is continually monitored by the Resilience Planning Group (RPG) to assess risk to staff and customers and reported to the Council’s Corporate Management Team (CMT). A Crisis Management Group (CMG) was stood down earlier in 2022 following the ending of restrictions by the Government but can be stood back up at short notice if the RPG monitoring highlights issues of substantial concern.</p> <p>Services provide regular updates on staffing levels and where required the response to this is addressed through business continuity plans. The Council provides regular service updates on its website.</p> <p>The LLR Strategic Coordinating Group was also stood down in early 2022, but the impact of the virus is continuously assessed and if necessary, the SCG can be stood back up.</p> <p>Nationally, on 31 August the Government announced that the UK’s COVID alert level has been downgraded from level three to level two - the first time it has been that low. A level two alert means that "COVID-19 is in general circulation, but direct healthcare pressures and transmission are declining or stable". Severe COVID cases, direct COVID healthcare pressures, direct COVID deaths and ONS community positivity estimates have decreased. Further COVID surges are still likely and people should be prepared by getting a vaccination when it is offered.</p>	<p style="text-align: center;"></p> <p style="text-align: center;">Expected to remain red/high</p>

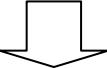

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Homes for Ukraine Scheme					
All	B	<p>If because of the ongoing war in Ukraine, the Homes for Ukraine Scheme continues beyond its original planned duration, increasing numbers of hosts are likely to end their sponsorships and refugees (or guests) are expected to encounter challenges in securing new sponsors or privately-rented accommodation, then the cost and service pressures on the Council and partners are likely to increase, safeguarding issues might increase and there will be a reputation risk if the scheme fails to provide the support guests require. Cost of living pressures are exacerbating this issue through both in relation to hosts and guests.</p>	16 14/L4	<p>The humanitarian tragedy that has unfolded in the Ukraine following the Russian invasion led the UK Government to respond nationally to assisting the refugee situation. The Homes for Ukraine Scheme supports people to sponsor Ukrainian refugees (guests) to live with them for a minimum of 6 months.</p> <p>The arrival of guests is adding significant pressure on public services. Additional support is required from adults and children's services impacting on budgets. Government funding has assisted with meeting costs but not all aspects can be covered so there is extra strain on Council resources. There's a key role for LA's in co-ordinating the scheme locally and there would likely be reputation damage if seen to be not assisting with guests</p> <p>Current challenging issues include:</p> <ul style="list-style-type: none"> • Increased demand on already strained resources • Poor, albeit improving, data quality about sponsors, guests, visas etc • Delays to government guidance • Have had to support guests presenting under the Family Visa Scheme but no explicit co-ordinating role for LA's, no data nor funding provided • The supply of new sponsors and privately rented accommodation when sponsor/ guest relationships come to an end • Arrivals of unaccompanied children • The scale of enquiries being received from sponsors and guests, Members and MPs. <p>Since the H4U scheme was introduced the County Council has: -</p> <ul style="list-style-type: none"> • Chaired strategic and operational groups co-ordinating the County Council with the City Council, district councils, Rutland Council and other partners and is the 	 <p>Expected to remain red/high</p>



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				<p>communications lead</p> <ul style="list-style-type: none"> Led on data co-ordination, cleansing, sharing and input Undertook DBS/safeguarding checks and ongoing support Made payments to guests and sponsors Arranged education and other service referrals Worked with local housing authorities to rematch guests with new sponsors <p>Operational support to the Scheme will be continually monitored and changes applied following any further Government guidance.</p> <p>Any Council insurance liability issues within the Scheme will be identified and mitigated.</p>	
Cost of Living Crisis					
All	C	If the current cost of living crisis continues and even intensifies without any UK Government interventions, then the people and businesses of Leicestershire as a whole will be significantly impacted and the County Council will have to take some difficult decisions.	<p>25</p> <p>I5/L5</p> <p>NEW</p>	<p><u>Impacts on the public, service users and businesses</u></p> <p>The Council's offer of support for Leicestershire residents is now set out on its website and is being used actively by Members and others</p> <p>Work is underway in the partnership arena to align/co-ordinate the offer across partners. This is happening in a number of ways but it was agreed that the best Forum to oversee this is the Health and Wellbeing Partnership which covers LLR and which has organised a workshop for 27/9</p> <p>A corporate cost of living group will be set up with each department represented to monitor developments and oversee and develop the Council's response. Solutions such as using libraries as warm spaces are being explored but these aren't simple or cost-free.</p> <p>The Council's ability to respond will be largely dependent on the actions and decisions taken by the Government and there is a real risk Government actions will be insufficient, late, or most likely both. The recent announcement by the Government of a freeze on energy prices for two years will provide some help to</p>	<p style="text-align: center;"></p> <p style="text-align: center;">Expected to remain red/high</p>



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				<p>households by reducing the amount that bills will increase by.</p> <p>Guidance and allocations for the Household Support Fund are still awaited from the Government.</p> <p><u>Impacts on the County Council</u></p> <ul style="list-style-type: none"> - Facing increased costs and reduced income - May require taking decisions on then managing messages around service reductions, reduced support, higher prices for care - Increases in mental and physical health referrals leading to further service delivery pressures and increases in safeguarding referrals - Increased public health risks due to undernourishment and cold and damp living conditions - Staffing disruptions due to staff leaving for increased pay or not wanting to incur travel costs which could affect business continuity - Supply chain difficulties with some companies failing completely or having to apportion their distributions - The Government's freeze on energy costs is extended to public sector bodies such as schools and charities, a sixth-month scheme will offer what was termed "equivalent support" to that for households, with a review in three months about how it could be better targeted. 	
1. Medium Term Financial Strategy					
All	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, legal challenges, and importantly demand/cost pressures especially those arising in	25 15/L5	<p>As reported to Cabinet in June the Council's financial position is very challenging. Economic forecasts have worsened since the report and a further update was taken to Cabinet in September.</p> <p>An offer has been made on the employers' side of a pay award which is a fixed increase of £1,925 for all grades. Such an increase would mean a 10.5% increase for staff on the lowest grades but overall, the impact on the pay bill is a 6.4% increase. This will add an additional cost of £8m for 2022/23 over and</p>	 <p>Expected to remain red/high</p>



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		Adults and Children's Social Care.		<p>above what was budgeted for which will continue through the life of the MTFs. Any increases in subsequent years over and above the 3% provided for will add further to the gap. UNITE has rejected the offer and both UNISON and the GMB are seeking views from their membership by late September and into October. Whilst inflation is high, next year's claim and therefore potential settlement, are also likely to be in excess of 3%</p> <p>The latest Bank of England forecast was expecting inflation to peak at 13%, even with the Government's intervention in the energy markets inflation is expected to remain high and there are no indications that prices will fall back towards their historic level. This will result in a permanent increase in the Council's cost base.</p> <p>The Council has to plan for further savings but it is becoming more difficult for instance the targeted £6m income from Health is likely to fall short by £3m.</p> <p>Changing Government priorities can be reflected in specific grants quicker than general funding, this would have a direct impact in the associated services.</p>	
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>	25 15/L5	<p>Over the last 6 months the largest cohort entering care has been 16/17 year olds. C&FS has seen an increase in complex behaviour and mental health which is increasing the requests for residential provision.</p> <p>There continues to be a slowdown nationally for enquiries into foster care. The Department has a robust communications plan with regular fostering recruitment activity. There are 12 assessments being undertaken and currently 12 initial visits live. Due to the strong front door (first response and out of hours duty team) there is good conversation from the initial visit through assessment to approval. Therefore whilst the numbers are lower, the Department continues to progress reasonable numbers in the current environment.</p>	 Expected to remain red/high


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C&FS	1.6	<u>Education</u> If demand for Education Health and Care Plans (EHCP) continues to rise, and corrective action is not taken, there is a risk that the high needs deficit will continue to increase.	25 15/L5	Strategic Partner commissioned to work with Department on Transforming SEND and Inclusion Programme alongside business as usual activity to both work with and reduce demand.	 Expected to remain red/high
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	<p>Further communication is planned with FAQs to schools following the response on our submission from the HMRC Suspended penalty will be dependent on measures being implemented within schools</p> <p>An external review is now complete, report received at the end of June. Recommendations have been made and are currently being considered by HR & Finance.</p> <p>There is potentially a further risk in relation to sole traders which has not yet been considered – initial scoping work underway.</p>	 Expected to remain red/high
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.	20 14/L5 (Increase from 16)	<p>C&FS is continuing to work with the dispersal hotels where UASC are challenging the age assessment provided by the Home Office. Between January - June UASC through the dispersal hotels accounted for nearly half of the numbers accommodated.</p> <p>Without any prior warning, the Government announced its new mandate for the National Transfer Scheme at the end of August, which takes immediate effect but with considerable impact. Over the next 2 years, the Council will have approximately 100 more UASC entering care. Whilst they are under 18 and in care, their costs are covered by Government grant. However, once they leave care (at 18) the Council has a duty to treat them as care leavers. There is an annual deficit in that funding of roughly £5,000 per UASC care leaver, so approximate extra costs in 2022</p>	 Expected to remain red/high



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				<p>- £200,000 (based on 40 care leavers); 2023 - £350,000 (70) and 2024 - £550,000 (110).</p> <p>C&FS are working with finance staff to provide a more accurate reflection of the financial risk</p>	
CE	1.11	If transition to the operational stage were not enabled, taking account of financial, governance, HR and other considerations, then the County Council would not be fulfilling its role as lead authority and accountable body for the East Midlands Freeport.	15 I5/L3	<p>The Freeport Full Business Case was submitted to Government by the due date of 14th April. That followed tax site designation by HM Treasury in March. Full designation is expected in the autumn, delayed from the summer, depending on the new Government.</p> <p>The Cabinet on 26th April approved the County Council becoming a member of the Freeport Company, with the Leader as a nominated member to serve on the Board, and to continue the role of lead authority and accountable body for the newly incorporated Freeport Company.</p> <p>A permanent chair of the Freeport Board has been appointed and the process of appointing a Chief Executive and Executive Delivery Team has commenced. A number of key partnership agreements have been progressed and a sub-group structure has been put in place.</p>	 Expected to move to Medium/Amber
CE	1.12	If the Council fails to maximise developer contributions by shaping local plan policies, negotiating S106 agreements and pro-active site monitoring, then there could be a failure to secure funding for County Council infrastructure projects (such as transport and schools)	16 I4/L4	A Cabinet report, planned for October will set out the County Council's position in relation to infrastructure funding, based on QC advice received earlier in the year	 Expected to remain red/high

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2. Health & Social Care Integration					
C&FS A&C PH	2.4	If the Council and its partners do not deliver a sustainable health and social care system (adults, children and public health) which results in vulnerable people not having their health and social care needs met, then there is a potential that increased demand on social care services will lead to the escalation of vulnerable people's needs.	16 I4/L4	<p><u>A&C</u> Significant ambulance delays and emergency department waits for treatment. Arrangements for care on discharge are improving, however there are significant challenges in providing optimal care. Work taking place to explore where health contributions should and could be made.</p> <p><u>C&FS</u> Work is also taking place to explore where health contributions should and could be made in Children's Services. Work continuing to develop health and children's governance.</p> <p><u>PH</u> Ongoing capacity for ICS and vaccination work within the department to be reviewed.</p>	 Expected to Increase Direction changed to upwards
3. ICT, Information Security					
CR	3.6	If the planned improvements and developments to the ORACLE Fusion payroll and HR system and working processes fail to be implemented on time and in full, then the Council (and its partner Nottingham City Council) could face claims, reputational damage, potential loss of income if traded contracts are withdrawn and a negative opinion from auditors.	16 I4/L4 NEW	<p>There is a period of significant change over the next 6 months</p> <p>Several upgrades to the system are planned removing some of the bespoke workarounds.</p> <p>A procurement is underway that will lead to a transition to a new support contract.</p> <p>The potential to adopt a new recruitment solution is being assessed.</p>	 Expected to move to Medium/ Amber


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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>Logging & monitoring solution - several supplier demonstrations taken place to assess market offerings. Next steps to plan for a proof of concept.</p> <p>Procurement for a new back-up solution is progressing</p> <p>"Cyber Security" standing item at quarterly RPG meetings to promote awareness and best practice.</p> <p>PSN submission rescheduled due to other priority work</p> <p>Pilot business contingency exercise ran with A&C. Final exercise format to be agreed before rolling out to critical services.</p>	 Expected to remain red/high
4. Commissioning & Procurement					
E&T	4.2	If Arriva is successful in its concessionary travel appeal, or the City in its challenge on the methodology of reimbursing operators, then reimbursement costs for the scheme could increase.	15 15/L3	Calculations have been peer reviewed, reimbursement position confirmed and clarified. Full report for explanation to City and Arriva is now with E&T Director and Assistant Director. As it currently stands, financial position for LCC is positive with no liability for backdated reimbursement to Arriva.	 Expected to move to Medium/ Amber



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E&T	4.3	If as a result of the impacts of the coronavirus pandemic and cost of living crisis bus operators significantly change their services, then there could be substantial impacts on communities accessing essential services and lead to required intervention under our Passenger Transport Policy and Strategy	20 15/L4	<p>Driver shortages, fuel price increases and the current cost of living crisis have all added pressure to the recovery of the bus market following the Covid pandemic. The lack of Bus Service Improvement Plan funding for Leicestershire has compounded this pressure. The Council continue to receive a high number of registrations from operators to either withdraw or change their services as a result of these pressures and are assessing them under the Public Transportation Priority System to determine any required intervention. There are a number of mitigating actions, namely: -</p> <ul style="list-style-type: none"> • All of the councils contracted services have been retendered and contracts let to March 2024. • A comprehensive review of the council's contracted services, including demand responsive transport services is due to be commissioned shortly. • The Council has received its allocation of Local Transport Fund (Bus recovery Grant Extension until October 2022), which can be used to support services. • The Council's Enhanced Partnership is now in place creating that forum and partnership with bus operators; and, • The use of remaining Supported Bus Services Grant during 2022/23 	 Expected to remain red/high
CE/CR	4.4	If there was either an actual or perceived breach of procurement guidelines, then there could be a challenge and/or financial penalty.	16 14/L4	<p>Lessons learnt following audit work on processes and controls on track to be completed by October with recommendations to be presented at CMT.</p> <p>Initial information on pipelines has been collected for all departments with a view to being published in line with Government guidance. These will be refreshed on a quarterly basis.</p> <p>Additional resource focussing on the capital programme has been</p>	 Expected to remain red/high





				recruited and has started to review all capital process and governance working with E&T, Property and Transformation Unit.	
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E&T and C&FS	4.5	If Special Educational Needs Assessments are delayed and Education, Health and Care Plans are not issued on time with appropriate placements for children identified, then Transport Operations could be failing to provide a timely statutory service.	16 I4/L4	Risk has been mitigated as far as possible with proactive communications and joint working with the SENA department and an interim payments scheme to support those families who won't have transport in place for the start of term. In addition to this, exceptional progress in all areas; eligibility, risk assessment and transport arrangements as a result of much hard work 'on the ground', means the number of families without transport is continually reducing. Raised the need for conversations and planning for 2023/24 to repeat and strengthen the work that has taken place between E&T and SENA in 2022/23	 Expected to move to Medium/ Amber Direction changed to downwards
5. Safeguarding – category retired					
6. Category retired					
7. People					

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CR (ALL)	7.1	If sickness absence is not effectively managed then staff costs, service delivery and staff wellbeing will be impacted.	16 14/L4	<p>Support for wellbeing continues to be a priority, communications especially on wellbeing and dedicated wellbeing counsellors.</p> <p>Performance Management Advisor focusing on resolving the most complex cases across the Council.</p> <p>Corporate messages of support for vaccination against Covid-19 and flu vaccination support.</p> <p>Continues to be issues getting accurate corporate absence reporting</p>	 Expected to Increase Direction changed to upwards
All	7.2	If departments are unable to promptly recruit and retain staff with the right skills and values and in the numbers required to fill the roles needed, then the required/expected level and standard of service may not be delivered, and some services will be over reliant on the use of agency staff resulting in budget overspends and lower service delivery.	25 15/L5 (Increase from 16)	<p><u>Risks currently scoring 15 and above</u></p> <p><u>C&FS</u></p> <p>The national and local situation regarding the recruitment and retention of social workers remains challenging. Despite active ongoing recruitment over recent months as of early July there were still a number of vacancies, which included 39 vacancies in critical front-line teams. Over the past 13 months, 77 Social Work staff have left a post. 12 were agency and 65 were permanent staff. Of the agency, 10 cited more pay being the reason for leaving the Council for another assignment.</p> <p>Despite 5 years of dedicated work, which has seen some success around recruitment and retention, we are not in the position we need to be that would reduce our reliance on high-cost agency staff. The department is also experiencing pressures in recruiting alternatively qualified staff. We are working on identifying any ways to better use our alternatively qualified staff to reduce the reliance on social workers</p>	 Expected to Increase Direction changed to upwards

			20	<u>E&T</u>	
			I5/L4	The Recycling and Household Waste Site Service continues to experience pressure of on-going staff shortages and a vacancy rate (for permanent staff) of over 25%; this has remained stable since the last update.	
			20	<u>CR</u>	
			I4/L5	Career grade guidance for managers is now available. Implementation of application via CV delayed due to technical issues and pending decision on issues. Recruitment incentives are now business as usual with Business Partners taking lead with any departmental issues. Implementation of the 2022-23 Employer's pay offer currently out with Trades Unions.	
			16	<u>A&C</u>	
			I4/L4 (Increase from 12)	People Services supporting understanding of vacancies and financial sign-off. Vacancy rate has decreased. Improving efficiency of recruitment processes. Market supplement to address lower salaries at higher levels than comparators. Good entry level offer - able to recruit at lower levels however tends to be newly qualified which requires significant investment around training etc.	
				<u>Risks currently scoring below 15</u>	
			8	<u>PH</u>	
			I4/L2	Considering internal workforce strategy and reviewing apprenticeship route for enhancing the current workforce	
			12	<u>CE</u>	
			I3/L4	Recruitment & retention in legal services is a continuing challenge. Recruitment difficulties have impacted on service	

				<p>delivery with one Team (Environment & Property) being two staff down for eight months. Succession arrangements need to be finalised in light of the planned retirement of the Head of Law.</p> <p>Demand continues to be high for weddings and will continue throughout this year and into summer 2023. There is a need to recruit further casual marriage officers and build in on call staff. In Trading Standards, growth has enabled the Service to recruit 4 additional apprentices which assists the long term goal of growing our own specialist Trading Standards officers.</p> <p>A Permanent Consultation Manager now appointed. Additional manager appointed on a 1 year secondment to increase capacity and manage high risk consultation and engagement activities.</p>	
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A&C	7.3	If the Department fails to develop and maintain a stable, sustainable, and quality social care market to work with, then it may be unable to meet its statutory responsibilities.	<p>15</p> <p>15/L3 (Decrease from 16)</p>	<p>"Fair Cost of Care" exercise underway for providers of residential care 65+ and home care 18+, however affordability not yet ascertained - continuing to model implications and awaiting external consultant review. Reports due to Government in September 2022 and in 2023 which will impact funding. All Covid payments have been issued. Market Sustainability Plan in development. Market Position Statement being scoped for development in 2023.</p> <p>Provider bulletin, day to day provider support, quality support, instability intervention and provider forums are in place and enhanced communications to providers will form part of the Social Care reform Policy, Comms and Engagement Workstream.</p> <p>New Quality Assurance (QA) risk tool launched and ongoing QA development forms part of the Social Care reform Market Sustainability workstream. New posts being recruited and a QA framework and process are being developed. Assistant Directors and Heads of Service meet bi-weekly with QA lead to ascertain risk</p>	<p></p> <p>Expected to remain red/high</p>

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A&C	7.4	Social Care Reform, implementation of charging reform and assurance process	25 15/L5 (Increase from 20)	<p>The cost and practicalities of implementing Social Care Reform are extremely concerning. Government funding is likely to fall significantly short of what is required nationally. An update is being provided to Cabinet in September.</p> <p>Recently work has been undertaken to identify impact and risk of insufficient technical support to provide specialist input into the programme.</p> <p>Programme financial implications have been modelled and this model is constantly refined and updated and reported to Corporate Finance and CMT as this is recognised to be a Council-wide risk.</p>	 Expected to Increase Direction changed to upwards
A&C	7.5	If there is continuing increase in demand for assessments (care needs and financial) then it may not be met by existing capacity.	20 14/L5 NEW	<p>Re-launching Online Financial Assessment. Updated LCC website to provide clearer information, worked with Digital Services to introduce flow on website to support ease of use. Form simplified and developing avatars to support form completion. Developed Communications Plan which includes using social media channels and asking social workers to promote online assessment to service users. Take-up numbers remain quite low but quality of information / evidence has improved when used. Looking to purchase additional Liquid Logic modules to enable people to apply for and manage care account from April 2023 (in preparation for legislation introduced from October 2023).</p> <p>Management oversight of people waiting for assessments and reviews. Triage processes to manage risk.</p> <p>Three Conversation Model pilots (an attempt to move away from traditional approaches to assessment) to commence over the summer to test asset based approach. Innovation hub sites have been identified. One site is now live and a second goes live on 1 September. A further two sites are being finalised. In the initial two sites Looked After Children have been included as hub connectors to facilitate signposting, sharing local knowledge and quick access to local community resources.</p>	 Expected to remain red/high

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8. Business Continuity					
CE	8.1	If suppliers of critical services do not have robust business continuity plans in place, then the Council may not be able to deliver services.	15 15/L3	Work is ongoing on how the Resilience and Business Continuity (BC) team can support internally during the procurement process. Also looking at how LCC can work with suppliers to increase their BC awareness.	 Expected to remain red/high
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	Work taking place to process map and streamline how works on trees (especially Ash trees) is managed and carried out within the Council. Seeking to distinguish between business as usual works and more complex works and to improve the handoffs between the Forestry Inspections Team and the Highways Forestry Team. This should help reduce the risk going forward as the ash dieback disease takes hold within the county and the need for works on trees increases.	 Expected to remain red/high
E&T	9.2	If there was a major issue which results in unplanned site closure (e.g. fire), then the Council may be unable to hold or dispose of waste.	15 15/L3 (Decrease from 20)	The Recycling and Household Waste Site Service continues to experience pressure of on-going staff shortages and a vacancy rate (for permanent staff) of over 25%; this has remained stable since the last update. Bardon whilst not fully operational is now able to accept Waste Collection Authority (WCA) main round Refuse Collection Vehicle (RCV) residual waste during short term contingency events. Likelihood of major failure reduced from 4 to a 3. Example being the recent unplanned closure of another Waste Transfer Station where RCVs were directed to use Bardon whilst the capacity issue was resolved.	 Expected move to Medium/ Amber
E&T	9.4	If services do not take into account current and future climate change in their planning, they may be unable to respond adequately to the predicted impacts, leading to significantly	20 14/L5	Since the Climate Change Review and Risk Assessment report was completed in February 2022, limited work has taken place in progressing the recommendations of the report due to staff shortages and capacity issues within the Environment Policy & Strategy Team. Work will commence on the recommendations in the Autumn when a new member of staff will be in post.	 Expected to remain red/high

		higher financial implications and service disruption, as well as making future adaptation more costly.			
10. Category retired					

Department

A&C =	Adults & Communities	E&T = Environment and Transport
CE =	Chief Executives	PH = Public Health
CR =	Corporate Resources	All = Consolidated risk
C&FS =	Children and Family Services	

**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 JANUARY 2020

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
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
All	6.1	EU Transition – If a formal trade agreement between the UK and EU is not in place at the end of the transition period, the UK will be treated by the EU as a third country. Trade arrangements will differ, and goods will be subject to full third country controls and a variety of border checks.	16	The Assistant Chief Executive is satisfied that the risks identified in the Reasonable Worst-Case Scenario did not materialise on transition as the UK and EU reached a trade deal	29 January 2021

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
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	The context of this risk is deemed to be covered within corporate risk 1.6 - 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.	29 January 2021
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 15/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.	29 January 2021
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 14/L4	Existing risk is obsolete and has been replaced by new risks which will be monitored in via the A&C, PH Departmental Risk Registers. These new risks are currently rated Amber.	4 June 2021

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
All	2.3	Challenges caused by the Welfare Reform Act 2012 and the Welfare Reform and Work Act 2016.	16 14/L4	This will be managed at department level.	5 November 2021
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	Merge two similar individual risks into one owned by the Head of Planning, Historic and Natural Environment.	5 November 2021
CE	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.	16 14/L4 (Reduced from 25)	Merge two similar individual risks into one owned by the Head of Planning, Historic and Natural Environment.	5 November 2021
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	15 15/L3	The system is live and although some teething problems remain these are being worked though and the risk will remain in the Department's register.	5 November 2021

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
C&FS	5.1	Historical: 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	The inquiry has not identified any new issues or concerns for the council; The historic areas of concern referred to in the report are all known to LCC.	5 November 2021

Risk Impact Measurement Criteria

Scale	Description	Departmental Service Plan	Internal Operations	People	Reputation	Financial per annum / per loss *
1	Negligible	Little impact to objectives in service plan	Limited disruption to operations and service quality satisfactory	Minor injuries	Public concern restricted to local complaints	<£50k
2	Minor	Minor impact to service as objectives in service plan are not met	Short term disruption to operations resulting in a minor adverse impact on partnerships and minimal reduction in service quality.	Minor Injury to those in the Council's care	Minor adverse local / public / media attention and complaints	£50k-£250k Minimal effect on budget/cost
3	Moderate	Considerable fall in service as objectives in service plan are not met	Sustained moderate level disruption to operations / Relevant partnership relationships strained / Service quality not satisfactory	Potential for minor physical injuries / Stressful experience	Adverse local media public attention	£250k - £500k Small increase on budget/cost: Handled within the team/service
4	Major	Major impact to services as objectives in service plan are not met.	Serious disruption to operations with relationships in major partnerships affected / Service quality not acceptable with adverse impact on front line services. Significant disruption of core activities. Key targets missed.	Exposure to dangerous conditions creating potential for serious physical or mental harm	Serious negative regional criticism, with some national coverage	£500-£750k. Significant increase in budget/cost. Service budgets exceeded
5	Very High/Critical	Significant fall/failure in service as objectives in service plan are not met	Long term serious interruption to operations / Major partnerships under threat / Service quality not acceptable with impact on front line services	Exposure to dangerous conditions leading to potential loss of life or permanent physical/mental damage. Life threatening or multiple serious injuries	Prolonged regional and national condemnation, with serious damage to the reputation of the organisation i.e. front-page headlines, TV. Possible criminal, or high profile, civil action against the Council, members or officers	>£750k Large increase on budget/cost. Impact on whole council

* Note that a different financial rating is used for the pension fund investments

Risk Likelihood Measurement Criteria

Rating Scale	Likelihood	Example of Loss/Event Frequency	Probability %
1	Very rare/unlikely	EXCEPTIONAL event. This will probably never happen/recur.	<20%
2	Unlikely	Event NOT EXPECTED. Do not expect it to happen/recur, but it is possible it may do so.	20-40%
3	Possible	LITTLE LIKELIHOOD of event occurring. It might happen or recur occasionally.	40-60%
4	Probable /Likely	Event is MORE THAN LIKELY to occur. Will probably happen/recur, but it is not a persisting issue.	60-80%
5	Almost Certain	Reasonable to expect that the event WILL undoubtedly happen/recur, possibly frequently.	>80%

Risk Scoring Matrix

		<u>Impact</u>					
		5 Very High/Critical					
4	Major	5	10	15	20	25	
		4	8	12	16	20	
	3	Moderate	3	6	9	12	15
			2	4	6	8	10
	1	Negligible	1	2	3	4	5
		1	2	3	4	5	
		Very Rare/Unlikely	Unlikely	Possible/Likely	Likely Probable/	Almost certain	

Likelihood*

*(Likelihood of risk occurring over lifetime of objective (i.e.12 months))

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