

							Current Risk Score			Risk Response; <i>Tolerate</i> <i>Treat</i> <i>Terminate</i> <i>Transfer</i>		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	L	Risk Score		
All	1	Risk around the MTFS including the ability to deliver savings through Service Redesign/ Transformation as required in the MTFS.	<ul style="list-style-type: none"> Chancellor Autumn Statement 2014 projected austerity and 2018/19, requiring LCC to find £90m savings Budget statement did not contain any reference to costs of Care Bill reforms to Adult Social Care which could significantly impact savings gap 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"> MTFS approved Public consultation undertaken Monitoring processes in place at both departmental and corporate level Settlement reviewed and MTFS updated Progress with savings monitored and reported to Scrutiny Commission regularly Improvement to Transformation programme including governance Focus on A & C overspend 	5	5	25	Treat	<ul style="list-style-type: none"> Greater emphasis on commissioning, active communities and demand management Review MTFS assumptions in the light of the election result Review savings due to the possibility of front loading funding reductions in 2016/17 and 2017/18 <p><u>Transformation Programme</u></p> <ul style="list-style-type: none"> Review of Programme Design to be undertaken in collaboration with Corporate Finance with focus on strengthening and implementing design principles, processes and governance to ensure the effective and timely development of project proposals and business cases. Paper outlining proposed revised approach to be submitted to Transformation Delivery Board by May 2015. In alignment with the outcome of Programme Design Review, the PMO will review current programme reporting and develop and implement a reporting regime which provides Transformation Delivery Board with a clear and relevant view on progress of all appropriate projects/change initiatives from concept development to benefits realisation – timescale for delivery to align with Programme Design Review 	5	5	25	Chief Executive / All Directors	Ongoing

C&FS	2	Local Authority legal requirements to meet deficit budgets from maintained schools being required to become a sponsored academy, and pressure to meet capital and other revenue costs pre and post conversion	<ul style="list-style-type: none"> Sponsors are seeking building repairs/updates before agreeing to sponsor schools Central agenda/strategy pushes for more conversion Deficit budgets return to the Local Authority at the point of conversion. No identified funding source to support sponsorship projects 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Local academy strategy objectives unachievable If sponsorship projects are approved Capital programme slippage and delays to other major schemes <p><u>People</u></p> <ul style="list-style-type: none"> Displaced children needing to be relocated if school closes Stress/pressure on pupils, parents, teachers <p><u>Reputation</u></p> <ul style="list-style-type: none"> Sponsor schools walk away from arrangements unless demands met If the school continues to sustain underperformance (and no sponsor found) then the DfE could direct LCC to close the school. <p><u>Financial</u></p> <ul style="list-style-type: none"> Demand on limited Dedicated School Grant (revenue) resources Diversion of capital funding from other schools If schools close there will be a negative impact on the transport budget as the LA will have to transport children to other schools. 	Director - Children & Family Services / Assistant Director Education & Learning	<ul style="list-style-type: none"> £2.5 million held in Dedicated Schools Grant reserves (Revenue) which has funded deficits to date with a further £2 million set aside in Reserves. On-going negotiations with sponsors and the Department for Education. Updated conditions surveys prepared Corporate School group to monitor Property to ensure capital program delivers priority 1 and 2. Notice of Concern is served on each school giving the LA greater influence over decision making. 	4	4	16	Treat	<ul style="list-style-type: none"> Capital Implications - Embed new arrangements for Capital Planning and Delivery Groups designed to better assess and co-ordinate demands on the capital programme. This will include subsequent development of criteria to challenge the inclusion of schemes. This reflects recommendations arising from Internal Audit report and subsequent Corporate Resources analysis of capital programme management Revenue Implications – funding has been set aside within the Dedicated Schools Grant Reserve to meet the cost of any deficits on conversion 	4	4	16	Head of Strategy-Education Sufficiency / Finance Business Partner	31/12/2015
CE	3	Funding and reputation risks: CIL Regulations (1 April 2015) are now in force which restrict the pooling of section 106 contributions	<ul style="list-style-type: none"> No CIL in place by District Councils Regulations now in force (6th April 2015) 	<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 	County Solicitor/ Head of Planning, Historic & Natural Environment	<ul style="list-style-type: none"> Agreed positions established with District Councils 	5	4	20	Treat	<ul style="list-style-type: none"> Analyse data of s106 contributions since 2010 Re Categorisation and agreement reached with LPAs 	5	3	15	Head of Planning, Historic & Natural Environment	(on going)
CR	4	The cost arising from uninsured risks increases	<ul style="list-style-type: none"> Latest estimates from MMI indicate an increasing liability Proposed settlement from the Independent only 15p per £1 of claims 	<p><u>Reputation</u></p> <ul style="list-style-type: none"> Amounts involved are large and LCC is currently the MMI's largest creditor (£2.2m) <p><u>Financial</u></p> <ul style="list-style-type: none"> Currently provided for a 15% levy with MMI, will be reviewed by MMI in 2 years. Liability insurance increased significantly at last renewal (>50%) due to insurer's perceived risk. If correct LCC is exposed to the deductible amount and potential future increases 	Assistant Director – Strategic Finance & Property/ Finance Manager	<ul style="list-style-type: none"> Detailed review of MMI claims undertaken before payments made Significant uninsured loss fund created to mitigate against the consequences MMI and similar situations Risk management work continues to minimise claim numbers, education to departments regarding maintenance of controls 	4	4	16	Treat	<ul style="list-style-type: none"> Fund audit due this year to establish if reserve holding is sufficient Review reserve levels in light of future claims 	4	4	16	Assistant Director – Strategic Finance & Property / Finance Manager	December 2015

A&C	5	Impact of the Care Act 2014 on the long term Council delivery strategies	<ul style="list-style-type: none"> • Increase to LCC responsibilities & costs • All service users (existing & new) requiring a 'care account' • Cap on total lifetime care costs paid by individuals • Extension to financial means test. More people entitled to financial support • Leicestershire more affluent therefore more of the costs which are currently self-funded will pass to tax paper • Additional costs are hard to quantify precisely due to lack of information on service users who currently fund and manage their own care • Uncertainty about formula used to allocate funding • 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> • Double the number of service users eligible • Concerns on how well changes will be understood by staff / service users / public <p><u>People</u></p> <ul style="list-style-type: none"> • Significant staffing and ICT resource implications • Required additional staffing at a time where workforce planning to be reduced <p><u>Financial</u></p> <ul style="list-style-type: none"> • Council will have insufficient funds to pay for the care that it has to provide under the Care Act. • Major impact on substantial savings / efficiencies required • Additional operating costs associates (increased assessment activity / care accounts) • Significant reduction in income from charges • More deferred payments for care costs • Extension to financial means test resulting in reduced income and cash flow • Protections for self-funders resulting in additional cost for Council 	Assistant Director – Strategy & Commissioning / Assistant Director – Promoting Independence	<ul style="list-style-type: none"> • Modelling is continuing to scope the impact on the budget using actual figures and best practice from other authorities, regional and national networks. Council is part of the National pilot undertaking further work to refine the financial model. • Care Act funding has been allocated for sufficient fte staffing to meet carer and prison assessments in 2015/16 to allow for probable inaccuracies in modelling • Leicestershire & Rutland Safeguarding Adults Board monitoring impact of new responsibilities • A fair price mechanism with the sector has been agreed. • Programme Board. Director of Adults & Communities is Programme Sponsor. Representation on Board from corporate departments • Programme Initiation Document being compiled to identify scope and will be signed off by Programme Board • LGA / ADASS stocktakes compare progress with other Councils • Participation with national and regional working groups • Staff information and training programme in place • Participation in the DoH national eligibility survey looking at the impact of the Care Act <p>Care Act Programme Board agreed May 28th 2015:</p> <ul style="list-style-type: none"> • Light touch approach to undertaking care and financial reviews • Approach to self-funders should be a minimalist one that does not develop dependency on the Council but promotes self-care and support. • Aligned to the Adult Social Care Strategy of promoting independence whilst being affordable and robust • Council should seek to 	4	5	20	Treat	<ul style="list-style-type: none"> • Preparation for detailed planning to identify “must haves” for implementation and development of Programme Initiation Document • Care Act funding will be allocated for sufficient fte staffing to meet self funder assessments in 2015/16 to allow for probable inaccuracies in modelling • Continue modelling exercise on scoping financial impact of Act, including obtaining best practice from other local authorities • Work is taking place to look at where and why additional payments are made for services. • Care Act Programme will become a Transformation project and will report into the Transformation Delivery Board • Gateway Reviews are planned to provide independent scrutiny on how the Programme is being managed and identify possible improvements/recommendations • Internal Audits of specific key risks • Review of risks as national information becomes available and ongoing as part of programme management. • Experienced Central Planner allocated to programme to assist with planning, delivering the Critical Path and supporting work programmes. • Risk Workshop planned in conjunction with Transformation Unit 	4	5	20	Head of Service – Care Act Finance November 2015	
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						charge self-funders the full cost of the services involved in arranging their care. • Targeting “easy to reach” service users first, i.e. residential homes										
CE / A & C	6	Better Care Together - There are a number of strategic risks associated with the health and social care economy's 5 year plan and strategic outline (investment) case.	• Breakdown in maintaining a strong vision and joint partnership working across LLR	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> BCT programme outcomes are not delivered and the programme fails leading to reputational risks, partnership breakdown and financial instability within the health and care economy BCT 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, leading to gaps in the financial plan/assumptions for delivering the programme The savings from BCT 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 	Director- Adults & Communities/Dir ector of Health and Care Inclusion / Assistant Director – Strategy & Commissioning	<ul style="list-style-type: none"> Representation from the LA on the LLR Partnership Board and BCT Delivery Board and workstreams where appropriate. BCF schemes have been included within the workbooks where appropriate. Business cases currently being developed across LLR for a couple of schemes with links into BCT. BCT update included in all-member briefings on a regular basis. BCT reports to HWBB and Cabinet approving the 5 year plan and the Strategic Outline Case. 	4	4	16	Treat	<p>The following additional controls have been provided by BCT:</p> <ul style="list-style-type: none"> During February, as the Programme progresses from the design to implementation phase, the BCT Programme's governance arrangements are to be enhanced to strengthen the Programme's link with the Chief Officers Group and with the BCT Implementation Group. The Programme is strengthening its programme controls by undertaking a task and finish exercise that will closely triangulate BCT programme planning, risk management, performance management, communications and engagement. In addition the Programme is currently providing support to clinical and enabling work streams that ensure they are ready to commence implementation of their plans from April. As part of the Programme's communication and engagement activities, there will be an extensive public awareness campaign planned to take place in Spring. 	4	3	12	Director- Adults & Communities & Director of Health and Care Inclusion Ongoing	

All	7	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 	<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 	Director of Adults & Communities / Assistant Director – Strategy & Commissioning/ Assistant Chief Executive	<ul style="list-style-type: none"> Social Fund claims are lower due to more focused eligibility criteria A&C finance team monitoring impact of benefit changes on departmental income and debt recovery Debt strategy plan approved and being implemented Information booklet on major WRA changes developed and circulated to all A&C staff and shared with CYPs LCC agreed contribution towards the districts hardship funds to assist people in financial difficulty Additional contingency help for non-collection of council tax 	5	5	25	Treat	<ul style="list-style-type: none"> Options to mitigate loss of Local Welfare Fund being explored Maintain awareness of legislative changes and timing of WRA roll-out 	5	4	20	Director of Adults & Communities / Assistant Director – Strategy & Commissioning / Assistant Chief Executive	August 2015
CR	8	The County Council's services have a growing dependence on ICT systems and infrastructure. Hence maintaining ICT systems and having the ability to restore services quickly and effectively in the event of an outage is vital.	<ul style="list-style-type: none"> Business evolution and dependencies cause additional load on existing infrastructure, reducing resilience to failure Recovery plans are currently fragmented 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Unable to deliver critical services Disruption to day to day operations Loss of key information Loss of self-service customer facing options / Public unable to use all access channel <p><u>People</u></p> <ul style="list-style-type: none"> Alternate business continuity arrangements likely to result in backlogs of work <p><u>Reputation</u></p> <ul style="list-style-type: none"> Negative stories in press Key partners impacted may influence contract renewal <p><u>Financial</u></p> <ul style="list-style-type: none"> Potential penalties Additional costs related to internal and external recovery 	Assistant Director – Information & Technology / Assistant Director – Customer Services & Operations Roderick	<ul style="list-style-type: none"> DR Framework signed off DR Strategy and Testing Policy in place DR Governance group established DR Test Programme agreed Single points of failure largely addressed Business critical systems identified Server virtualisation programme complete Service BC plans developed for all critical services. 	5	3	15	Treat	<ul style="list-style-type: none"> Continue review of current plans to ascertain gaps, to put forward improvement proposals Notification of all planned changes that may impact infrastructure Data Centre replacement project underway Completion of first year of planned DR test 	4	3	12	Design & Commissioning Manager	December 2015 Assistant Director – Information & Technology April 2016

CR	9	The responsibility to protect the confidentiality, integrity, availability and accountability of information means there is a continuing risk of failure of information security.	<ul style="list-style-type: none"> Increased information sharing 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 	Director – Corporate Resources & Transformation/ Assistant Director – Information & Technology	<ul style="list-style-type: none"> New , simplified Information Security and Acceptable Use policy signed off PSN compliance achieved Regular penetration testing and enhanced IT health checks in place Improved guidance about data transfer tools Simplified Security and Acceptable Use Policy approved Communication plan re information security Mobile device management implemented 	4	4	16	Treat	<ul style="list-style-type: none"> New security governance arrangements to be introduced PSN compliance requirements built into BAU Actions from external tests build into BAU Personal responsibility for information security to be built into new staff terms and conditions 	4	3	12	Assistant Director – Information & Technology Sept 2015 Head of ICT Operations June 2015	
All	10	Failure by LCC to provide effective business intelligence to services will restrict implementation of effective strategies, impacting council wide priorities and delivery of the Transformation Programme	<ul style="list-style-type: none"> No clearly defined corporate Business Intelligence (BI) function Insufficient BI on customers and cost of services Reduced research, performance and finance support for projects Inadequate data quality and data sharing Demand influenced by unmanageable external environment Range of cultural, Information Management, technology and skills issues Incorrect predictions for growth (and decline) For e.g. Waste 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Inadequate information for business cases Jeopardise importance of robust and effective evidence based decision making Transformation priorities not being met <p><u>People</u></p> <ul style="list-style-type: none"> Difficulty in identifying and implementing effective preventative measures Less productivity through duplication of work <p><u>Reputation</u></p> <ul style="list-style-type: none"> Inaccurate returns to central government Unable to comply with increasing number of data sets required under the Transparency Agenda <p><u>Financial</u></p> <ul style="list-style-type: none"> Risk of litigation/judicial review 	Assistant Director – Information & Technology / Assistant Chief Executive	<ul style="list-style-type: none"> Data and BI Enabler Programme underway Data and BI Board will provide ongoing governance Recruitment to new Head of BI complete TOM for CoF for Data and BI agreed 	5	3	15	Treat	<ul style="list-style-type: none"> Development of Data Framework model Development of technology roadmap for reporting and BI New mode for engagement with Transformation projects embedded New Centre of Excellence established New Data and BI strategy to be developed 	5	3	15	Team Manager, Information & Data June 2015 Design & Commissioning Manager June 2015 Alasdair Peers Sept 2015 Assistant Chief Executive July 2015	

All	11	Insufficient capacity to provide Information & Technology solutions to support major change projects	<ul style="list-style-type: none"> Imbalance of IT resources versus IT requirements Demand outweighs supply Loss of knowledge and lack of continuity as a result of staff turnover and/or inadequate investment in skills and competencies Difficulties in recruitment 	<u>Service Delivery</u> <ul style="list-style-type: none"> Departmental and corporate objectives not met or delayed Delays to project delivery <u>Financial</u> <ul style="list-style-type: none"> Failure to support delivery of efficiency programme and ICT replacement projects 	Director – Corporate Resources & Transformation/ Assistant Director – Information & Technology	<ul style="list-style-type: none"> I&T work programme provides forward visibility of demand Use of external contractors to fill specific skills gaps Analysis of likely future demand 	4	4	16	Treat	<ul style="list-style-type: none"> Improved forward planning through implementation of JIRA Identification of key skills and workforce plan to retain, develop and recruit these Development of demand management approaches 	4	4	16	Design & Commissioning Manager Business Partner (Corporate Resources)	
C&FS	12	Breach of Data Protection Act - retention of files longer than required	Decommissioning of Adult Case management System (SSIS) C&F Management Team has accepted advice from Legal Services to retain all data recorded on the former case management system (SSIS), as it is not practical to physically go through thousands of children's records on the system and make a judgement on what should or should not be retained, given the limited resource of staff that are 'qualified' to make such decisions.	<u>Service Delivery</u> <ul style="list-style-type: none"> Service delivery adversely affected by out of date data <u>People</u> <ul style="list-style-type: none"> Details of Vulnerable people at risk of disclosure <u>Reputation</u> <ul style="list-style-type: none"> Potential adverse media attention and public lack of confidence <u>Financial</u> <ul style="list-style-type: none"> Potential financial penalties 	Assistant Director – Commissioning & Development / Head of Strategy – Business Support	<p>Legal Services' view is that any fines for not retaining data when it should be retained for example in litigation, would be greater than if data is kept securely for longer than legally required.</p> <p>Data securely held</p>	4	4	16	Treat	Review policy annually to see if position has changed	4	4	16	Assistant Director – Commissioning & Development / Head of Strategy – Business Support 23. 10.15	
E&T	13	Impact of an increase in unplanned and speculative local developments to address the shortfall in the 5 year housing supply which could have an adverse impact on the functioning of the transport network.	<ul style="list-style-type: none"> National and local housing shortage Government impetus to build new homes Lack of 5 year housing supply District level plans not in place Pressure on districts for early determination of planning applications Increased developer 'know-how' Shortage of expert resources 	<u>Service Delivery</u> <ul style="list-style-type: none"> Significant increase in both the number and complexity of planning applications received Increase in the number of appeals Negative impact on other core LCC strategies (LTP3) <u>People</u> <ul style="list-style-type: none"> Undue pressure on staff as expert and specific knowledge required Safety issues/congestion/accidents for residents if schemes not properly planned and approved <u>Reputation</u> <ul style="list-style-type: none"> Difficulties to maintain reputation of being a quality and fair Highways Authority Developments in the wrong location <u>Financial</u> <ul style="list-style-type: none"> Increase in legal costs 	Director – Environment & Transport	<ul style="list-style-type: none"> Working with district councils to help identify, prioritise and program work to establish housing plans. Additional expertise resource recruited Analysing different options for the phasing, funding and delivery of transport infrastructure Monitoring number of applications and structuring team to ensure they can be turned around as efficiently as possible, however there is still a minimum amount of time that a transport assessment takes 	3	5	15	Treat	<ul style="list-style-type: none"> Continue to assist districts in formulation of planning documents to predict county wide housing requirements Identify pinch points on transport network early to begin design work on potential schemes so that they can be later funded by developers in appropriate circumstances Review of planning responses across the authority 	3	9	9	Head of Service Transport Policy & Strategy, Head of Planning, Historic & Natural Environment Ongoing	

				<ul style="list-style-type: none">Loss of developer contributionPublic funds needed to address impact of developers													
C &FS	14	Improved outcomes and financial benefits of Supporting Leicestershire Families (SLF) are not achieved, leading to inability to financially sustain the SLF service beyond 2015/16	<ul style="list-style-type: none">New phase two outcomes frameworks requires large data collectionNew framework includes much broader measures to achieve in order to pull down TFU monies	<u>Service Delivery</u> <ul style="list-style-type: none">Reduction in families supportedIncrease in reactive service demand <u>People</u> <ul style="list-style-type: none">Families and individuals do not achieve their potential <u>Reputation</u> <ul style="list-style-type: none">Loss of confidence in place based solutions <u>Financial</u> <ul style="list-style-type: none">Related services unable to reduce budgets if demand not decreased	Director – Children & Family Services / Assistant Director-Children's Social Care	<ul style="list-style-type: none">Data project underway to increase provision, quality and from a range of servicesTraining for workers to achieve optimum outcomes with families at earliest opportunityLeicestershire has now completed phase one of PBR and pulled down additional funding into the pooled budgetSLF Service is now fully up and running and merged into C&F ServicesWhole family working is being rolled out across a range of Services	5	3	15	Treat	<ul style="list-style-type: none">Opportunities to nationally ring fence budgets to be discussed with partners/servicesMeasuring outcomes to demonstrate reduced demand.Cost benefits analysis to be shared with partners to progress further conversation around future fundingLeicestershire to enter PBR phase two early therefore enabling us to draw down additional money into the pooled budget	5	3	15	Assistant Director-Children's Social Care / Head of Supporting Leicestershire Families 31 December 2015		
E&T	15	Insufficient /unknown funding for transport schemes to deliver economic growth and LTP3/Strategic Plan & availability of match funding.	<ul style="list-style-type: none">Changes to local and national funding streams (i.e. SEP)Lack of available match fundingLack of / insufficient future plan	<u>Service Delivery, People and Reputation</u> <ul style="list-style-type: none">A transport system that does not support population and economic growth, LTP3/Strategic Plan <u>Financial</u> <ul style="list-style-type: none">Major impact on funding sourcesUnknown funding for development of future schemes	Director – Environment & Transport	<ul style="list-style-type: none">Fed into MTFS / LLEP / SEP processesDevelopment of Enabling growth action planEngagement with centre and LLEP to develop more coherent working relationshipsWorking with SCG, Leicester and Leicestershire Transport Advisory Group and Leicester City to increase the prominence of transport investment in delivery of economic benefitsContinuing to understand future DfT funding models in order to optimise opportunities availableContinuing to develop future plan	5	4	20	Treat	<ul style="list-style-type: none">Continued engagement with centre and LLEP to develop more coherent working relationshipsContinue to work with SCG, Leicester and Leicestershire Transport Advisory Group and Leicester City to increase the prominence of transport investment in delivery of economic benefitsContinue to understand future DfT funding models in order to optimise opportunities availableContinue to develop future plan	4	3	12	Director – Environment & Transport Ongoing		
All	16	The Authority does not obtain the required value and level of performance from its providers /suppliers	<ul style="list-style-type: none">Lack of robust contract management /performance measures for in-house servicesRobustness of supply chainReduced funding and resourcesStaff turnover leading	<u>Service Delivery</u> <ul style="list-style-type: none">Business disruption due to cost and time to re-tender the contractStandards/quality not met resulting in reduced customer satisfactionRelationships with providers/suppliers deteriorate <u>People</u> <ul style="list-style-type: none">Additional workload where	Director – Corporate Resources & Transformation / Assistant Director – Corporate	<ul style="list-style-type: none">The performance of the Authority's 23 'top' contracts is monitored on a quarterly basis to ensure that a robust approach is taken to managing performance.Departmental and Corporate CCB ensure that sufficient consideration is given to	5	3	15	Treat	<ul style="list-style-type: none">Approach to Supplier continuity assurance (based on plans for business critical services) underwayContract Management Toolkit and training interventions being developed as part of the Effective Commissioning Enabler (Transformation Programme)Roll out of e-tendering to help	4	3	12	Head of Commissioning and Procurement Support September 2015		

			to lack of continuity in contract management • Insufficient investment in contract management skills and competencies	disputes arise <u>Reputation</u> • Customer complaints <u>Financial</u> • VfM/ Efficiencies not achieved • Increased costs as LCC has to pick up the service again • Unfunded financial exposure (MMI)	Services & Transformation	contract and relationship management; and to managing liabilities at the outset of the procurement.					make contract KPI's and management more visible. • Commissioning support model is being developed to help strengthen arrangements. • New Commissioning & Procurement Strategy identified range of additional measures to be implemented					
CFS	17	<ul style="list-style-type: none"> Impact of non-recent child sexual exploitation in the context of Leicestershire County Council following the prosecution of Frank Beck and the Kirkwood Enquiry As LCC's ability to identify child sex exploitation improves the volume of work for operational teams and the associated care costs will outstrip available resource 	<u>Historic</u> <ul style="list-style-type: none"> Leicestershire's employment of Frank Beck and the resultant reputational damage following his conviction and the Kirkwood Enquiry National profile of post Saville enquiry of sexual exploitation by people in positions of trust <u>Current</u> <ul style="list-style-type: none"> Partnership agencies (e.g. Leicestershire Police and the County Council) improve the identification of child sexual exploitation 	<u>Service Delivery</u> <ul style="list-style-type: none"> Possible increase in the volume of work <u>People</u> <ul style="list-style-type: none"> Possible increase in workload <u>Reputation</u> <ul style="list-style-type: none"> Potential adverse media and political risk Possible financial impact <u>Financial</u> <ul style="list-style-type: none"> Possible financial impact 	<u>Reputation</u> Chief Executive <u>Reputation & Service Delivery</u> Director - Children & Family Services <u>Legal</u> County Solicitor <u>Financial</u> Director - Corporate Resources	<ul style="list-style-type: none"> Strategic Group chaired by the Assistant Chief Constable which is attended by Directors of Children's Service for Leicestershire, Leicester City & Rutland and other senior officers. The Group ensures effective planning and responses to issues Additional resources employed and embedded into Leicestershire Police force. New operational guidance and governance arrangements in place 	5	5	25	Treat	<ul style="list-style-type: none"> Further planning for known events e.g. National Enquiry Understand fully the emerging care costs Effective Council wide approach 	5	5	25	<u>Reputation</u> Chief Executive <u>Reputation & Service Delivery</u> Director - Children & Family Services <u>Legal</u> County Solicitor <u>Financial</u> Director - Corporate Resources Ongoing & 31 st December 2015	

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