

							Current Risk Score			Risk Response; Tolerate Treat Terminate Transfer			Residual Risk			Action Owner / (Date)	Action Complete (Yes or No)
Dept.	Risk #	Risk	Causes (s)	Consequences (s)	Risk Owner	List of current controls	I	L	Risk Score		Further Actions / Additional Controls		I	L	Risk Score		
1. Medium Term Financial Strategy (MTFS)																	
All	1.1	Risk around the MTFS including the ability to deliver savings through Service Redesign/ Transformation as required in the MTFS, impact of the living wage and other demand and cost pressures	<ul style="list-style-type: none"><li>Reducing government funding</li><li>Increased demand for the most vulnerable continues to increase: Adult Social Care / CYPS</li><li>Significant efficiencies/savings already realised and implemented thereby making it increasingly difficult to deliver unidentified savings</li></ul>	<u>Service Delivery</u> <ul style="list-style-type: none"><li>Negative impact on all services as further service cuts will be required to reduce deficit</li></ul> <u>Reputation</u> <ul style="list-style-type: none"><li>Significant impact on reputation exacerbated by the need for quick and potentially crude savings if a more considered approach not adopted</li></ul> <u>Financial</u> <ul style="list-style-type: none"><li>Loss of income</li><li>Restricted funding from other sources</li></ul>	Chief Executive/ All Directors	<ul style="list-style-type: none"><li>MTFS approved</li><li>Public consultation undertaken</li><li>Monitoring processes in place at both departmental and corporate level</li><li>Settlement reviewed and MTFS updated</li><li>Progress with savings monitored and reported to Scrutiny Commission regularly</li><li>Improvement to Transformation programme including governance</li><li>Reporting of Transformation Programme aligned with Corporate Finance reporting</li></ul>	5	5	25	Treat	<ul style="list-style-type: none"><li>Increased understanding of recent announcement to localise business rates</li><li>Further investigation of living wage costs and offsetting actions</li><li>Further investigations of the children's placements overspend</li><li>Greater emphasis on commissioning, active communities and demand management</li><li>Review MTFS assumptions</li><li>Review savings due to the possibility of front loading funding reductions in 2016/17 and 2017/18</li></ul> <u>Transformation Programme</u> <ul style="list-style-type: none"><li>Revised approach to Programme Design governance agreed at October Transformation Delivery Board and Design Authority set up. Processes and tools to evaluate and progress Business Cases to be refined and embedded.</li></ul>	5	5	25	Chief Executive / All Directors	Ongoing	
CE	1.3	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"><li>No CIL in place by District Councils Regulations now in force (6th April 2015)</li></ul>	<u>Financial</u> <ul style="list-style-type: none"><li>Failure to secure funds putting LCC at financial risk</li></ul> <u>Reputation</u> <ul style="list-style-type: none"><li>Possible need for challenge / defend challenge in high court</li></ul>	County Solicitor/  Head of Planning, Historic & Natural Environment	<ul style="list-style-type: none"><li>Agreed positions established with District Councils</li></ul>	5	4	20	Treat	<ul style="list-style-type: none"><li>Analyse data of s106 contributions since 2010</li><li>Re Categorisation and agreement reached with LPAs</li><li>Infrastructure and Development Oversight Group in place</li></ul>	4	3	12	Head of Planning, Historic & Natural Environment  (on going)		
CR	1.4	The cost arising from uninsured risks increases	<ul style="list-style-type: none"><li>Latest estimates from MMI indicate an increasing liability</li><li>Proposed settlement from the Independent only 15p per £1 of claims</li><li>Independent insurance company close to agreement, which means LCC will be effectively self-insured for new claims in this period</li></ul>	<u>Reputation</u> <ul style="list-style-type: none"><li>Amounts involved are large and LCC is currently the MMI's largest creditor (£2.2m)</li></ul> <u>Financial</u> <ul style="list-style-type: none"><li>MMI's 14/15 final results show a significantly worsening position due to an increase in abuse and mesothelioma claims</li><li>LCC will suffer some of the financial consequences if a school is under-insured and fails following a major incident</li><li>The policy excess sets the amount of each claim that LCC must meet. These are currently<ul style="list-style-type: none"><li>Property damage £500k</li></ul></li></ul>	Assistant Director – Strategic Finance & Property/ Finance Manager	<ul style="list-style-type: none"><li>Detailed review of MMI claims undertaken before payments made</li><li>Significant uninsured loss fund created has been increased (£2.2m) using 14/15 underspend to mitigate against the consequences MMI and similar situations</li><li>Risk management work continues to minimise claim numbers, education to departments regarding maintenance of controls</li><li>New process for checking</li></ul>	4	4	16	Treat	<ul style="list-style-type: none"><li>Fund audit due this year to establish if reserve holding is sufficient and deductible level appropriate</li><li>Review reserve levels in light of future claims</li><li>Strengthen claims notification procedure to reduce possibility of insurers declining claims</li></ul>	4	4	16	Assistant Director – Strategic Finance & Property / Finance Manager  December 2015		

				<ul style="list-style-type: none"><li>- Public Liability £250k</li><li>- Professional indemnity £25k</li><li>- Fidelity Guarantee £100k</li><li>- Money self-insured</li></ul>		<ul style="list-style-type: none"><li>insurance cover for high risk Property contracts</li><li>• Academies only expected to be insured by LCC or FA scheme in future</li><li>• Deductible increased to £250k to reduce premiums payable</li></ul>										
C&FS	1.5	Significant pressures on the children's social care placement budget, which fund the care of vulnerable children.	<ul style="list-style-type: none"><li>• High cost placements increasing especially in relation to behaviour &amp; CSE issues</li></ul>	<ul style="list-style-type: none"><li>• <u>Financial</u> High cost and overspending of budget</li></ul>	Assistant Director- Children's Social Care	<ul style="list-style-type: none"><li>• T3 Project being closely performance managed by Departmental Transformation Board</li><li>• Placements Commissioning Board established</li><li>• Weekly tracking of admissions and discharges of Children in Care</li><li>• Working with Impower to increase foster carer numbers</li></ul>	3	5	15	Treat	<ul style="list-style-type: none"><li>• T3 placement commissioning strategy is in progress</li><li>• Cohorts of children being targeted for lower cost measures</li><li>• Changed decision making processes to be put in place</li><li>• Monthly high level DMT reviews to be introduced</li></ul>	3	4	12	Assistant Director- Children's Social Care  December 2015	
2. Health & Social Care Integration																
A&C	2.1	Care A Care Act 2014 - Funding risk for 2016/17 and beyond	<ul style="list-style-type: none"><li>• Care Act Phase 2 implementation delayed by Ministers until April 2020.</li><li>• Funding allocation unknown</li></ul>	<ul style="list-style-type: none"><li>• Uncertainty if there will be a reduction of Care Act Allocation in 16/17. Project and staffing resources funded from this funding stream, continued affordability which will impact department/operational teams. Impact on staff and staffing number – potential redundancies.</li></ul>	Assistant Director – Strategy & Commissioning	<ul style="list-style-type: none"><li>• Significant use of fixed term contracts. Recruitment now ceased.</li></ul>	4	5	20	Treat	<ul style="list-style-type: none"><li>• Staffing being reviewed for the savings to be made if funding withdrawn. Mitigate redundancies through usual Council Policies.</li></ul>	3	5	15	Assistant Director – Strategy & Commissioning  December 2015	
CE / A & C	2.2	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.	<ul style="list-style-type: none"><li>• Breakdown in maintaining a strong vision and joint partnership working across LLR</li></ul>	<u>Service Delivery</u> <ul style="list-style-type: none"><li>• 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</li><li>• BCT care pathway changes fail to maintain safe, high quality clinical care</li><li>• 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</li></ul> <u>Financial</u> <ul style="list-style-type: none"><li>• The investment case within the SOC is not fully supported, leading to gaps in the financial plan/assumptions for delivering the programme</li><li>• The savings from BCT are not achieved, leading to gaps in the financial plan/assumptions</li></ul>	Director- Adults & Communities	<ul style="list-style-type: none"><li>• Representation from the LA on the LLR Partnership Board and BCT Delivery Board and workstreams where appropriate.</li><li>• Programme has been reshaped to define the outcomes to be achieved by each workstream within the BCT. Business Justification templates completed to outline benefits, costs and risks of each workstream within the BCT programme</li><li>• The majority of the Leics BCF deliverables are aligned to the urgent care and frail older people's work streams</li><li>• Further modelling work is in progress led by the BCT programme office on the bed reconfiguration proposals</li><li>• BCT update included in all-member briefings on a regular</li></ul>	4	4	16	Treat	The following additional controls have been provided by BCT: <ul style="list-style-type: none"><li>• As the Programme progresses from the design to implementation phase, further clarity is needed on the detail of governance arrangements between BCT programme and HWBs. Meeting with BCT Independent Chair and BCT programme Director being arranged to progress this.</li><li>• 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. The BCT programme is currently developing an outcome and milestones document which will set out the detail of delivery plans for the next 12-18 months.</li><li>• Public consultation planned in the Autumn to be led by the BCT programme.</li></ul>	4	3	12	Director- Adults & Communities  &  Assistant Director – Strategy & Commissioning  Ongoing	

A & C	2.2 (i)	Impact on A&C - BCT left shift initiative	<ul style="list-style-type: none"> <li>Transferring patients early from UHL to ICRS 2 community services</li> </ul>	<p>for delivering the programme.</p> <ul style="list-style-type: none"> <li>A notional figure of £5m impact on ASC has been highlighted within the Strategic Outline Case.</li> </ul> <p><u>People</u></p> <ul style="list-style-type: none"> <li>Partners are unable to provide sufficient staffing resource to deliver the programme leading to failure to deliver at the required pace and scale</li> <li>Lack of LLR integrated workforce plans</li> </ul> <p><u>Reputational</u></p> <ul style="list-style-type: none"> <li>The communication and engagement plan for BCT is ineffective leading to lack of public support or opposition to the plans</li> </ul>	Director- Adults & Communities & Assistant Director – Strategy & Commissioning	<p>basis.</p> <ul style="list-style-type: none"> <li>BCT reports to HWBB and Cabinet approving the 5 year plan and the Strategic Outline Case.</li> <li>BCT Scheme of Delegation has been shared with the council for comment, feedback given.</li> <li>Social care/prevention strategies for each LA have been drafted to inform the BCT delivery plan .The Chief Executive, (Rutland County Council, SRO, Social Care), are being consolidated by into one overarching document.</li> </ul>	4	4	16	Treat	<ul style="list-style-type: none"> <li>Working closely with Health to identify the potential increase in demand, impact on social care and actions to mitigate</li> </ul>	4	3	12	Director- Adults & Communities & Assistant Director – Strategy & Commissioning	
All	2.3	LCC and partners do not have the capacity to meet expected increase in demand caused by the Welfare Reform Act	<ul style="list-style-type: none"> <li>Decreased income</li> <li>Continual economic climate</li> <li>High unemployment / Reduction in wage increases</li> <li>Changes in the benefit system</li> <li>Introduction of Universal Credit transfers responsibility to vulnerable people</li> <li>Inadequate information for business cases jeopardising robust decision making</li> <li>More demand for advice services</li> <li>No central funding for Local Welfare Provision post April 2015</li> <li>PIP migration for new and existing service users including appointee and</li> </ul>	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> <li>Service users losing support/income leading to a rise in number of people needing support from LCC and other local agencies</li> </ul> <p><u>People</u></p> <ul style="list-style-type: none"> <li>Families less able to maintain independence</li> <li>Difficulty in identifying and implementing effective preventative measures</li> <li>'Hard to reach' groups slip through the net</li> </ul> <p><u>Reputation</u></p> <ul style="list-style-type: none"> <li>Cases of hardship / lack of support in media</li> <li>Potential inspection</li> <li>Public confused as to which Agency has responsibility</li> </ul> <p><u>Financial</u></p> <ul style="list-style-type: none"> <li>A&amp;C debt increases</li> <li>Demand led budgets under more pressure</li> </ul>	Director of Adults & Communities / Assistant Director – Strategy & Commissioning/ Assistant Chief Executive	<ul style="list-style-type: none"> <li>Social Fund claims are lower due to more focused eligibility criteria</li> <li>A&amp;C finance team monitoring impact of benefit changes on departmental income and debt recovery</li> <li>Debt strategy plan approved and being implemented</li> <li>Information booklet on major WRA changes developed and circulated to all A&amp;C staff and shared with CYPS</li> <li>LCC agreed contribution towards the districts hardship funds to assist people in financial difficulty</li> <li>Additional contingency help for non-collection of council tax</li> <li>Plan in place for CCF to deal with PIP for all LCC appointeeship / Deputyship cases.</li> </ul>	5	5	25	Treat	<ul style="list-style-type: none"> <li>Options to mitigate loss of Local Welfare Fund being explored</li> <li>Maintain awareness of legislative changes and timing of WRA roll-out</li> </ul>	5	4	20	Director of Adults & Communities / Assistant Director – Strategy & Commissioning / Assistant Chief Executive  December 2015	

			deputyship in receipt of DLA who were under 65 on 8 April 2013 commences 13/7/15	<ul style="list-style-type: none"> <li>Risk of litigation / judicial review</li> <li>Increased risk due to the migration from Disability Living Allowance to Personal independence Payments locally effective from 13 July 2015 over the following 2 years. The longer term risk has also now increased in relation to the Governments roll-out timetable that most existing benefit claimants will be moved over to Universal Credit during 2016 and 2017. However, it has now been acknowledged that at least 700,000 claimants will not be on Universal Credit by the end of 2017.</li> </ul>												
<b>3. ICT, Information Security</b>																
CR	3.1	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"> <li>Business evolution and dependencies cause additional load and complexity on existing infrastructure, reducing resilience to failure. Current data centre reaching end of life</li> </ul>	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> <li>Unable to deliver critical services</li> <li>Disruption to day to day operations</li> <li>Loss of key information</li> <li>Loss of self-service customer facing options / Public unable to use all access channel</li> </ul> <p><u>People</u></p> <ul style="list-style-type: none"> <li>Alternate business continuity arrangements likely to result in backlogs of work</li> </ul> <p><u>Reputation</u></p> <ul style="list-style-type: none"> <li>Negative stories in press</li> <li>Key partners impacted may influence contract renewal</li> </ul> <p><u>Financial</u></p> <ul style="list-style-type: none"> <li>Potential penalties</li> <li>Additional costs related to internal and external recovery</li> </ul>	Assistant Director – Information & Technology  / Assistant Director – Customer Services & Operations	<ul style="list-style-type: none"> <li>DR testing done on all critical systems and integration of critical systems (technical tests)</li> <li>DR testing scenarios can be easily created using isolated bubble e.g. by service without impacting live environment</li> <li>Romulus court recovery can now recover a service at RC in minutes</li> <li>Host server down can now automatically reallocate its services to another server in minutes</li> <li>Property provide power resiliency – recent updates to testing generators</li> <li>Critical system list signed off by Corporate Resiliency. Built into service desk and DR recovery processes</li> <li>Service BC plans developed for all critical services.</li> <li>Completion of first year of planned DR tests</li> </ul>	5	3	15	Treat	<ul style="list-style-type: none"> <li>Continue review of current plans to ascertain gaps, to put forward improvement proposals</li> <li>Notification of all planned changes that may impact infrastructure</li> <li>Data Centre replacement project underway</li> <li>Completion of first year of planned DR test</li> <li>DR tests need Corporate Resiliency Group input and input from Strategic DR plan owner (Kevin Turner) via DR working group</li> <li>Server virtualisation programme 95% complete</li> <li>Next stage to involve users in DR tests</li> <li>Workshop to review approach to cyber security risks ( May 2016)</li> </ul>	4	3	12	Design & Commissioning Manager  December 2015  Assistant Director – Information & Technology &  Assistant Director – Customer Services & Operations  April 2016	
CR	3.2	The responsibility to protect the confidentiality, integrity, availability and accountability of information means there is a continuing risk	<ul style="list-style-type: none"> <li>Increased information sharing</li> <li>Increased demand for flexible working increases vulnerability of personal, sensitive data taken offsite.</li> <li>More hosted technology services</li> <li>Greater emphasis on</li> </ul>	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> <li>Diminished public trust in ability of Council to provide services</li> <li>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</li> </ul>	Director – Corporate Resources & Transformation/ Assistant Director – Information & Technology	<ul style="list-style-type: none"> <li>New, simplified Information Security and Acceptable Use policy signed off</li> <li>PSN compliance achieved</li> <li>Regular penetration testing and enhanced IT health checks in place</li> <li>Improved guidance about data transfer tools</li> </ul>	4	4	16		<ul style="list-style-type: none"> <li>PSN compliance requirements built into BAU</li> <li>Actions from external tests build into BAU</li> <li>Personal responsibility for information security to be built into new staff terms and conditions</li> </ul>	4	3	12	Assistant Director – Information & Ongoing	



		of failure of information security.	<ul style="list-style-type: none"> <li>publication of data and transparency</li> <li>Greater awareness of information rights by service users</li> <li>Increased demand to open up access to personal sensitive data and information to support integration of services and development of business intelligence.</li> </ul>	<ul style="list-style-type: none"> <li>on delivery of some vital services.</li> </ul> <p><u>People</u></p> <ul style="list-style-type: none"> <li>Loss of confidential information compromising service user safety</li> </ul> <p><u>Reputation</u></p> <ul style="list-style-type: none"> <li>Damage to LCC reputation</li> </ul> <p><u>Financial</u></p> <ul style="list-style-type: none"> <li>Financial penalties</li> </ul>		<ul style="list-style-type: none"> <li>Simplified Security and Acceptable Use Policy approved</li> <li>Communication plan re information security</li> <li>Mobile device management implemented</li> <li>New security governance arrangements put in place</li> </ul>				Treat	<ul style="list-style-type: none"> <li>Ongoing implementation of relevant policies</li> <li>Business case for software patching tools to minimise security risks in LCC software.</li> </ul>				Head of ICT Operations Ongoing	
All	3.3	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"> <li>No clearly defined corporate Business Intelligence (BI) function</li> <li>Insufficient BI on customers and cost of services</li> <li>Reduced research, performance and finance support for projects</li> <li>Inadequate data quality and data sharing</li> <li>Demand influenced by unmanageable external environment</li> <li>Range of cultural, Information Management, technology and skills issues</li> <li>Incorrect predictions for growth (and decline) For e.g. Waste</li> </ul>	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> <li>Inadequate information for business cases</li> <li>Jeopardise importance of robust and effective evidence based decision making</li> <li>Transformation priorities not being met</li> </ul> <p><u>People</u></p> <ul style="list-style-type: none"> <li>Difficulty in identifying and implementing effective preventative measures</li> <li>Less productivity through duplication of work</li> </ul> <p><u>Reputation</u></p> <ul style="list-style-type: none"> <li>Inaccurate returns to central government</li> <li>Unable to comply with increasing number of data sets required under the Transparency Agenda</li> </ul> <p><u>Financial</u></p> <ul style="list-style-type: none"> <li>Risk of litigation/judicial review</li> </ul>	Assistant Director – Information & Technology / Assistant Chief Executive	<ul style="list-style-type: none"> <li>Data and BI Enabler Programme underway</li> <li>Data and BI Board established</li> <li>New Head of BI appointed</li> <li>TOM for Centre of Excellence for Data and BI agreed</li> <li>New Centre of Excellence established</li> <li>Data and BI Strategy approved</li> </ul>	5	3	15	Treat	<ul style="list-style-type: none"> <li>Development of Data Framework model</li> <li>Development of technology roadmap for reporting and BI</li> <li>New mode for engagement with Transformation projects embedded</li> <li>Data and BI Strategy to be approved</li> <li>Development of a business case for a corporate reporting platform</li> </ul>	5	3	15	<p>Team Manager, Information &amp; Data April 2015</p> <p>Design &amp; Commissioning Manager April 2016</p> <p>Head of Business Intelligence April 2016</p>	
All	3.4	Insufficient capacity to provide Information & Technology solutions to support major change projects	<ul style="list-style-type: none"> <li>Imbalance of IT resources versus IT requirements</li> <li>Demand outweighs supply</li> <li>Loss of knowledge and lack of continuity as a result of staff turnover and/or inadequate investment in skills and competencies</li> <li>Difficulties in recruitment and retention</li> </ul>	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> <li>Departmental and corporate objectives not met or delayed</li> <li>Delays to project delivery</li> </ul> <p><u>Financial</u></p> <ul style="list-style-type: none"> <li>Failure to support delivery of efficiency programme and ICT replacement projects</li> </ul>	Director – Corporate Resources & Transformation/ Assistant Director – Information & Technology	<ul style="list-style-type: none"> <li>I&amp;T work programme provides forward visibility of demand</li> <li>Use of external contractors to fill specific skills gaps</li> <li>Analysis of likely future demand</li> <li>Improved forward planning through implementation of JIRA</li> <li>Identification of key skills and workforce plan to retain, develop and recruit</li> </ul>	4	4	16	Treat	<ul style="list-style-type: none"> <li>Implementation of Information and Technology Strategy</li> <li>Development of demand management approaches</li> </ul>	4	4	16	<p>Assistant Director – Information &amp; Technology</p> <p>April 2016</p>	

C&FS	3.5	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"> <li>Service delivery adversely affected by out of date data</li> </ul> <u>People</u> <ul style="list-style-type: none"> <li>Details of Vulnerable people at risk of disclosure</li> </ul> <u>Reputation</u> <ul style="list-style-type: none"> <li>Potential adverse media attention and public lack of confidence</li> </ul> <u>Financial</u> <ul style="list-style-type: none"> <li>Potential financial penalties</li> </ul>	Assistant Director – Commissioning & Development / Head of Strategy – Business Support	<ul style="list-style-type: none"> <li>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.</li> <li>Data securely held</li> </ul>	4	4	16	Tolerate	<ul style="list-style-type: none"> <li>Review policy annually to see if position has changed</li> </ul>	4	4	16	Assistant Director – Commissioning & Development / Head of Strategy – Business Support	October 2015
4. Transportation																
E&T	4.1	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"> <li>National and local housing shortage Government impetus to build new homes</li> <li>Lack of 5 year housing supply</li> <li>District level plans not in place</li> <li>Pressure on districts for early determination of planning applications</li> <li>Increased developer 'know-how'</li> <li>Shortage of expert resources</li> </ul>	<u>Service Delivery</u> <ul style="list-style-type: none"> <li>Significant increase in both the number and complexity of planning applications received</li> <li>Increase in the number of appeals</li> <li>Negative impact on other core LCC strategies (LTP3)</li> </ul> <u>People</u> <ul style="list-style-type: none"> <li>Undue pressure on staff as expert and specific knowledge required</li> <li>Safety issues/congestion/accidents for residents if schemes not properly planned and approved</li> </ul> <u>Reputation</u> <ul style="list-style-type: none"> <li>Difficulties to maintain reputation of being a quality and fair Highways Authority</li> <li>Developments in the wrong location</li> </ul> <u>Financial</u> <ul style="list-style-type: none"> <li>Increase in legal costs</li> <li>Loss of developer contribution</li> <li>Public funds needed to address impact of developers</li> </ul>	Director – Environment & Transport	<ul style="list-style-type: none"> <li>Working with district councils to help identify, prioritise and program work to establish housing plans.</li> <li>Additional expertise resource recruited</li> <li>Analysing different options for the phasing, funding and delivery of transport infrastructure</li> <li>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</li> </ul>	3	5	15	Treat	<ul style="list-style-type: none"> <li>Continue to assist districts in formulation of planning documents to predict county wide housing requirements</li> <li>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</li> <li>Review of planning responses across the authority</li> </ul>	3	3	9	Head of Service Transport Policy & Strategy,  Head of Planning, Historic & Natural Environment  Ongoing	

5. Partnership Working															
C &FS	5.1	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"><li>New phase two outcomes frameworks requires large data collection</li><li>New framework includes much broader measures to achieve in order to pull down TFU monies</li></ul>	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"><li>Reduction in families supported</li><li>Increase in reactive service demand</li></ul> <p><u>People</u></p> <ul style="list-style-type: none"><li>Families and individuals do not achieve their potential</li></ul> <p><u>Reputation</u></p> <ul style="list-style-type: none"><li>Loss of confidence in place based solutions</li></ul> <p><u>Financial</u></p> <ul style="list-style-type: none"><li>Related services unable to reduce budgets if demand not decreased</li></ul>	Director – Children & Family Services / Assistant Director-Children’s Social Care	<ul style="list-style-type: none"><li>Data project underway to increase provision, quality and from a range of services</li><li>Training for workers to achieve optimum outcomes with families at earliest opportunity</li><li>Leicestershire has now completed phase one of PBR and pulled down additional funding into the pooled budget</li><li>SLF Service is now fully up and running and merged into C&amp;F Services</li><li>Whole family working is being rolled out across a range of Services</li></ul>	5	3	15	Treat	<ul style="list-style-type: none"><li>Measuring outcomes to demonstrate reduced demand.</li><li>Cost benefits analysis to be shared with partners to progress further conversation around future funding</li><li>Discussions with partner organisation to secure ongoing funding</li><li>Leicestershire to enter PBR phase two early therefore enabling us to draw down additional money into the pooled budget</li></ul>	5	3	15	Assistant Director-Children’s Social Care / Head of Supporting Leicestershire Families  December 2015
E&T	5.2	Insufficient /unknown funding for transport schemes to deliver economic growth and LTP3/Strategic Plan & availability of match funding.	<ul style="list-style-type: none"><li>Changes to local and national funding streams (i.e. SEP)</li><li>Lack of available match funding</li><li>Lack of / insufficient future plan</li></ul>	<p><u>Service Delivery, People and Reputation</u></p> <ul style="list-style-type: none"><li>A transport system that does not support population and economic growth, LTP3/Strategic Plan</li></ul> <p><u>Financial</u></p> <ul style="list-style-type: none"><li>Major impact on funding sources</li><li>Unknown funding for development of future schemes</li></ul>	Director – Environment & Transport	<ul style="list-style-type: none"><li>Fed into MTFS / LLEP / SEP processes</li><li>Development of Enabling growth action plan</li><li>Engagement with centre and LLEP to develop more coherent working relationships</li><li>Working with SCG, Leicester and Leicestershire Transport Advisory Group and Leicester City to increase the prominence of transport investment in delivery of economic benefits</li><li>Continuing to understand future DfT funding models in order to optimise opportunities available</li><li>Continuing to develop future plan</li></ul>	5	4	20	Treat	<ul style="list-style-type: none"><li>Continued engagement with centre and LLEP to develop more coherent working relationships</li><li>Continue to work with SCG, Leicester and Leicestershire Transport Advisory Group and Leicester City to increase the prominence of transport investment in delivery of economic benefits</li><li>Continue to understand future DfT funding models in order to optimise opportunities available</li><li>Continue to develop future plan</li></ul>	4	3	12	Director – Environment & Transport  Ongoing

6. Commissioning & Procurement															
All	6.1	The Authority does not obtain the required value and level of performance from its providers /suppliers	<ul style="list-style-type: none"><li>Lack of robust contract management /performance measures for in-house services</li><li>Robustness of supply chain</li><li>Reduced funding and resources</li><li>Staff turnover leading to lack of continuity in contract management</li><li>Insufficient investment in contract management skills and competencies</li></ul>	<u>Service Delivery</u> <ul style="list-style-type: none"><li>Business disruption due to cost and time to re-tender the contract</li><li>Standards/quality not met resulting in reduced customer satisfaction</li><li>Relationships with providers/suppliers deteriorate</li></ul> <u>People</u> <ul style="list-style-type: none"><li>Additional workload where disputes arise</li></ul> <u>Reputation</u> <ul style="list-style-type: none"><li>Customer complaints</li></ul> <u>Financial</u> <ul style="list-style-type: none"><li>VfM/ Efficiencies not achieved</li><li>Increased costs as LCC has to pick up the service again</li><li>Unfunded financial exposure (MMI)</li></ul>	Director – Corporate Resources & Transformation / Assistant Director – Corporate Services & Transformation	<ul style="list-style-type: none"><li>Departments currently undertake management and monitoring of contracts</li><li>New Commissioning &amp; Procurement Strategy in place with reporting framework developed and agreed to measure progress against Key Principles</li></ul>	5	3	15	Treat	<ul style="list-style-type: none"><li>Approach to Supplier continuity assurance (based on plans for business critical services) underway</li><li>Contract Management Toolkit and training interventions being developed as part of the Effective Commissioning Enabler (Transformation Programme)</li><li>New governance arrangements to be developed as part of Effective Commissioning Enabler (Transformation Programme)</li><li>Roll out of e-tendering to help make contract KPI's and management more visible.</li><li>Commissioning support model is being developed with specific focus on establishing a contract management function to help strengthen arrangements.</li></ul>	4	3	12	Head of Commissioning and Procurement Support  Ongoing
7. Safeguarding															
CFS	7.1	<u>Historic</u>  Evidence of previously unknown serious historic issues of child sexual exploitation or abuse is identified  <u>Current</u>  The Council does not have the capacity to meet the demand on the CSE service	<u>Historic</u>  Concerted effort to explore historic exploitation and abuse in response to the Goddard Inquiry and Police Operations  <u>Current</u>  Concerted effort in response to the Goddard Inquiry and Police Operations result in the significant increase in identified cases	<u>Service Delivery</u> <ul style="list-style-type: none"><li>Need to review and redesign current service in the light of lessons learnt</li></ul> <u>Reputation</u> <ul style="list-style-type: none"><li>Potential adverse media and political risk</li></ul> <u>Financial</u> <ul style="list-style-type: none"><li>Increased cost of settling claims and service redesign</li></ul> <u>Service Delivery</u> <ul style="list-style-type: none"><li>Increase in the volume of work beyond the capacity of the planned service</li></ul> <u>People (Public)</u> <ul style="list-style-type: none"><li>The Council fails to support victims and those at risk</li></ul> <u>Reputation</u> <ul style="list-style-type: none"><li>Loss of public confidence in the Council and political instability</li></ul> <u>Financial</u> <ul style="list-style-type: none"><li>Increased cost of settlement and service delivery</li></ul>	<u>Reputation</u> Chief Executive  <u>Reputation &amp; Service Delivery</u> Director - Children & Family Services  <u>Legal</u> County Solicitor  <u>Financial</u> Director - Corporate Resources	<ul style="list-style-type: none"><li>Established Goddard Inquiry Strategic Governance Group to oversee planned investigation and information gathering</li><li>Pro-active engagement with the Goddard Inquiry</li><li>CSE team embedded in the police specialist response team</li><li>New operational guidance and governance arrangements in place</li><li>LSCB CSE Co-Ordinator in place</li></ul>	5	5	25	Treat	<ul style="list-style-type: none"><li>Further planning for known events e.g. National Enquiry</li><li>Understand fully the emerging care costs</li><li>Effective Council wide approach</li></ul>	5	5	25	<u>Reputation</u> Chief Executive  <u>Reputation &amp; Service Delivery</u> Director - Children & Family Services  <u>Legal</u> County Solicitor  <u>Financial</u> Director - Corporate Resources  Ongoing & December 2015



Department

A&C =

Adults & Communities

CE =

Chief Executives

CR =

Corporate Resources

E&T =

Environment and Transport

PH =

Public Health

C&FS =

Children and Families Services

All =

Consolidated risk

Risk Removed from the Corporate Risk Register

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
1. Medium Term Financial Strategy (MTFS)					
C&FS	1.2	Local Authority legal requirements to meet deficit budgets from maintained schools becoming sponsored academy, and pressure from Sponsors to meet repair costs.	16	<p>Over the last few months there has been a significant reduction in the number of schools moving through sponsorship, most secondary schools now having converted (except Shepshed) leaving potentially the smaller and less costly underperforming primary schools to be addressed.</p> <p>In addition the Council now had improved controls to manage deficit budgets for schools subject to sponsorship in all cases issuing a Notice of Concern for financial management to the school governing body, at an early stage of the conversion process.</p> <p>As the risk score has been revised from 16 to 12, this risk has been removed from the Corporate Risk Register but it will continue to be monitored through the C&amp;FS Departmental Risk Register.</p>	October 2015