

Dept.	Risk #	Risk	Causes (s)	Consequences (s)	Risk Owner	List of current controls	Current Risk Score			Risk Response; Tolerate Treat Terminate Transfer	Further Actions / Additional Controls	Residual Risk			Action Owner / (Date)	Action Complete (Yes or No)
							I	L	Risk Score			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"> Reducing government funding Increased demand for the most vulnerable continues to increase: Adult Social Care / CYPS Significant efficiencies/savings already realised and implemented thereby making it increasingly difficult to deliver unidentified savings 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Negative impact on all services as further service cuts will be required to reduce deficit <p><u>Reputation</u></p> <ul style="list-style-type: none"> Significant impact on reputation exacerbated by the need for quick and potentially crude savings if a more considered approach not adopted <p><u>Financial</u></p> <ul style="list-style-type: none"> Loss of income Restricted funding from other sources 	Chief Executive/ All Directors	<ul style="list-style-type: none"> Four year MTFS approved Monitoring processes in place at service, departmental and corporate level Progress with savings monitored and reported to Scrutiny Commission regularly Reporting of Transformation Programme aligned with Corporate Finance reporting Progress on savings from Transformation Programme monitored regularly to resolve early issues Design Authority operational following review of Transformation Programme governance. Transformation Programme re-aligned to MTFS 	5	4	20	Treat	<ul style="list-style-type: none"> Assess the impact of announcement to localise business rates Further work on the Council's low funding position to make the case for increased funding to government Further focus on in year budget monitoring demand management, delivery of savings and strong financial control Refinement of the C&FS overspend recovery plan <p><u>Transformation Programme</u></p> <ul style="list-style-type: none"> Further opportunities for savings to be investigated through development of Corporate Reviews within Transformation Programme The Transformation Unit to ensure the early planning of initiatives by supporting Departments to develop Business Cases in order to secure savings and other associated benefits. 	5	4	25	Chief Executive / All Directors During 2016/17	
CE	1.3	If S106 monies for the Council as a whole are not managed properly then there could financial risks as well as legal challenges	<ul style="list-style-type: none"> 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 	Director of Law/ Head of Planning, Historic & Natural Environment	<ul style="list-style-type: none"> Agreed positions established with District Councils Analysed data of s106 contributions since 2010 Infrastructure and Development Oversight Group in place- work programme and timetable in place Approach to projects and pooling established (subject to individual project circumstances). Regular updates to Cabinet on planning decisions that do not reflect the County Council's section 106 requirements. Members notified of requests for section106 contributions that fall within their division. 	4	4	16	Treat	<ul style="list-style-type: none"> Improve procedures and practices - replacement of Atrium (procurement and implementation of new database) 	4	2	8	Head of Planning, Historic & Natural Environment During 2016/17	

CR	1.4	If claims relating to uninsured risks continue to increase then there will be significant pressure on reserves, impacting on service provision	<ul style="list-style-type: none"> Latest estimates from MMI indicate an increasing liability Proposed settlement from the Independent only up to 15p per £1 of claims Independent insurance company close to agreement, which means LCC will be effectively self-insured for new claims in this period 	<p><u>Financial</u></p> <ul style="list-style-type: none"> Amounts involved are large and LCC is currently the MMI's largest creditor <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Reduced funds available to support services 	Director of Finance (Corporate Resources)	<ul style="list-style-type: none"> Detailed review of MMI claims undertaken before payments made Significant uninsured loss fund created has been increased to mitigate against the consequences of MMI and similar situations Process for defending claims in place Ongoing partnership work with MMI to improve claims handling to reduce and manage losses 	4	4	16	Tolerate	<ul style="list-style-type: none"> Review reserve levels in light of future claims 	4	4	16	Head of Internal Audit Service and Insurance Manager Ongoing 2016/17
C&FS	1.5	<u>Social Care</u> If the number of high cost social placements (e.g. external fostering, residential and 16+ supported accommodation) increases then there may be significant pressures on the children's social care placement budget, which funds the care of vulnerable children.	<ul style="list-style-type: none"> High cost placements increasing especially in relation to behaviour & CSE issues 	<ul style="list-style-type: none"> <u>Financial</u> High cost and overspending of budget 	Director - Children & Family Services	<ul style="list-style-type: none"> Placements Commissioning Board established – leading on changes to decision making processes Weekly tracking of admissions and discharges of Children in Care Work with Impower has been completed and has informed the Sufficiency Strategy Focussed recruitment has begun (Parallel Carers;One2One;Supported Lodgings) and monitoring of performance targets in these areas underway 16+ support and placement planning, commissioning panel has commenced Engaged with QUIP with health to review use of Out of County placements 	3	5	15	Treat	<ul style="list-style-type: none"> Word Of Mouth project –six year programme of targeted savings Cohorts of children being targeted for lower cost measures Development of local sufficiency through production of Children in Care Market Position Statement and work with local markets to understand demand requirements regarding placements Monthly high level DMT reviews 	3	4	12	Assistant Director-Children's Social Care During 2016/17
C&FS	1.6	<u>Education</u> If the provision of support to high needs pupils (including SEN placements) continues to increase, then the budget will be impacted upon	<ul style="list-style-type: none"> Services requesting support for high needs including SEN placements. Insufficient budget 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Insufficient funding to meet service requirements <p><u>People</u></p> <ul style="list-style-type: none"> Resources tied up in independent provision and not benefiting Leicestershire children and young people <p><u>Reputation</u></p> <ul style="list-style-type: none"> Limited control over independent schools <p><u>Financial</u></p> <ul style="list-style-type: none"> Budget overspent. Overspend continues 	Director – Children & Family Services	<ul style="list-style-type: none"> Work with maintained and academy special schools to increase their capacity to meet higher levels of need Work with Behaviour Partnerships to increase their capacity to offer provision Continue rigorous consideration of cases at SEND Panel Introduction of charges for specialist teaching services Scholl Forum involved in action planning New Improved contract and procurement arrangements now in place New extended offer at Oakfield for children with behavioural difficulties now in place New extended offer at Maplewell hall for children with Autism now in place 	5	4	20	Treat	<ul style="list-style-type: none"> Criteria for special school placement being reviewed Potential development of Free schools to increase capacity Criteria for EHCP and top up funding being reviewed Review and development of local sufficiency around placements <p>NOTE: These are longer term actions and will not see benefit this financial year <i>NB these and other actions are part of High Needs transformation action plan to address the High Needs overspend</i></p>	4	4	16	Head of Strategy SEND Reform During 2016/17

2. Health & Social Care Integration															
A&C	2.1	Care Act 2014 - Funding risk for 2016/17 and beyond	<ul style="list-style-type: none"> Care Act Phase 2 implementation delayed by Ministers until April 2020. The funding allocation for Phase 1 has been cut entirely in the local government settlement leaving the only potential source of funding the BCF (£1.4m in 2015/16) 	<ul style="list-style-type: none"> Staffing resources and contracts that were expected to be funded will need to be reduced or funded from savings elsewhere. 	Director - Adults & Communities Assistant Director – Strategy & Commissioning	<ul style="list-style-type: none"> Significant use of fixed term contracts. Recruitment now ceased. Assessment of expenditure justified directly by Phase 1 of the Care Act Un-spent Care Act funding in 2015/16 to be used in 2016/17 to allow time to transition to the lower level of funding. Recruitment panel established to review all temporary posts, secondments and vacancies. 	4	5	20	Treat	<ul style="list-style-type: none"> Workforce Strategy and Implementation Plan to be delivered in 16/17. Departmental structures being reviewed with potential reorganisation by April 2017. 	3	4	12	Assistant Director – Strategy & Commissioning During 2016/17
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"> 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 	Director- Adults & Communities	<ul style="list-style-type: none"> Representation from the LA on the LLR Partnership Board and BCT Delivery Board and workstreams where appropriate. 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 The majority of the Leics BCF deliverables are aligned to the urgent care and frail older people's work streams Further modelling work is in progress led by the BCT programme office on the bed reconfiguration proposals 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. BCT Scheme of Delegation has been shared with the 	4	4	16	Treat	<p>The following additional controls have been provided by BCT:</p> <ul style="list-style-type: none"> 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. 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. Public consultation planned in the Summer 2016 to be led by the BCT programme. 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. The development of multi specialist care providers and further integration of health and 	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"> Transferring patients early from UHL to ICRS 2 community services 	<p>deliver the programme leading to failure to deliver at the required pace and scale</p> <ul style="list-style-type: none"> 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 <p><u>Financial</u></p> <ul style="list-style-type: none"> Initially this will increase the number of service users requiring assessment and services and potentially increase in demand on social care and providers. 	Director- Adults & Communities & Assistant Director – Strategy & Commissioning	<p>council for comment, feedback given.</p> <ul style="list-style-type: none"> Social care/prevention strategies for each LA have been drafted to inform the BCT delivery plan .The Chief Executive, (Rutland County Council, SRO, and Social Care), have been consolidated into one overarching document. Refreshed finance and capacity modelling is being undertaken as part of the development of the sustainability and transformation plan. 	4	4	16	Treat	social care services will be taken forward during 16/17	4	3	12	Director- Adults & Communities & Assistant Director – Strategy & Commissioning	Ongoing
All	2.3	LCC and partners do not have the capacity to meet expected increase in demand caused	<ul style="list-style-type: none"> Decreased income Continual economic climate High unemployment / Reduction in wage increases Changes in the benefit 	<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 	Director of Adults & Communities / Assistant Director –	<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 	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 	4	4	16	Director of Adults & Communities / Assistant Director –	

		by the Welfare Reform Act	<p>system</p> <ul style="list-style-type: none"> Introduction of Universal Credit transfers responsibility to vulnerable people Inadequate information for business cases jeopardising robust decision making More demand for advice services No central funding for Local Welfare Provision post April 2015 PIP migration for new and existing service users including appointee and deputyship in receipt of DLA who were under 65 on 8 April 2013 commences 13/7/15 	<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 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. Government announced Nov 15 an intention to consult on transferring responsibility for Attendance Allowance to LA's current spending on Attendance Allowance nationally is £5bn 	Strategy & Commissioning/ Assistant Chief Executive	<ul style="list-style-type: none"> 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 Plan in place for CCF to deal with PIP for all LCC appointeeship / Deputyship cases. 												Strategy & Commissioning / Assistant Chief Executive	During 2016/17
3. ICT, Information Security																			
CR	3.1	If there is an outage and ICT systems are not restored quickly and effectively, then service delivery could be impacted upon	<ul style="list-style-type: none"> Business evolution and dependencies cause additional load and complexity on existing infrastructure, reducing resilience to failure. Current data centre reaching end of life 	<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 	Assistant Director – Corporate Services / Head of Information Management &	<ul style="list-style-type: none"> DR testing completed on all critical systems Romulus court can now recover services within minutes Host server can now automatically reallocate its services to another server in minutes 	5	3	15	Treat	<ul style="list-style-type: none"> Data Centre replacement project underway Workshop to review approach to cyber security risks based on hacker/virus scenario completed and recommendations to be presented to IT Board Full DR test including user 	3	3	9	Head of Information Management & Technology				

				<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 	Technology	<ul style="list-style-type: none"> Property provide power resiliency – recent updates to testing generators Critical system list signed off by Corporate Resiliency. Built into service desk and DR recovery processes Service BC plans developed for all critical services. Updated frequency of ‘snapshots’ enables data to be restored to a more recent time 										testing – post new data centre go-live.	<ul style="list-style-type: none"> Server virtualisation programme 99% complete 				October 2016	
CR	3.2	If there is a failure to protect the integrity confidentiality and access to data and information then there could be a breach of information security.	<ul style="list-style-type: none"> Increased information sharing and direct access to systems across partnerships Increased demand for flexible working increases vulnerability of personal, sensitive data taken offsite. More hosted technology services Greater emphasis on publication of data and transparency Greater awareness of information rights by service users Increased demand to open up access to personal sensitive data and information to support integration of services and development of business intelligence. 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Diminished public trust in ability of Council to provide services Failure to comply with Public Service Network (PSN) Code of Connection standard would result in the Council being disconnected from PSN services, with possible impact on delivery of some vital services. <p><u>People</u></p> <ul style="list-style-type: none"> Loss of confidential information compromising service user safety <p><u>Reputation</u></p> <ul style="list-style-type: none"> Damage to LCC reputation <p><u>Financial</u></p> <ul style="list-style-type: none"> Financial penalties 	Assistant Director – Corporate Services / Head of Information Management & Technology	<ul style="list-style-type: none"> New, simplified Information Security and Acceptable Use Policy in place PSN compliance achieved Regular penetration testing and enhanced IT health checks in place Improved guidance about data transfer tools in place Programme of communications in place to re-inforce data security practices Mobile device management process in place New security governance arrangements in place Increased communication and guidance on cyber security issues E-learning for all staff in place Induction process includes requirements around information security New firewall in place providing two layers of security protection in line with PSN best practice 	4	4	16	Treat	<ul style="list-style-type: none"> Development of e learning refresher course Improved monitoring of e-learning completion through the new Learning Management System Development of Intrusion Detection Policy Further work on perimeter security 	4	3	12	Head of Information Management & Technology	During 2016/17						
All	3.3	If there is a failure to provide business intelligence required to support transformation, inform commissioning, inform strategic planning and to complete statutory returns then policy will not be evidence	<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 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Service change & commissioning decisions are not underpinned by robust evidence and are therefore sub-optimal <p><u>Reputation</u></p> <ul style="list-style-type: none"> Failure to meet statutory requirements <p><u>Financial</u></p> <ul style="list-style-type: none"> Savings targets are missed or delayed due to lack of quality data to inform decision making <p><u>People</u></p> <ul style="list-style-type: none"> The people of Leicestershire do not get the best services 	Assistant Chief Executive/ Head of Business Intelligence	<ul style="list-style-type: none"> Data and BI Board established Head of BI in post and new BI Service structure in place. DBI Strategy in place. BI Development team established to take forward data and technology strands of DBI Strategy including new technical reporting arrangements working with IT DBI Enabler Leadership Group in place to oversee the DBI Enabler programme and report back to the DBI Board. Pilot projects underway to inform strategy 	5	3	15	Treat	<ul style="list-style-type: none"> Implementation of DBI Strategy to take place over next 2 years with quarterly progress review, reporting to DBI Board. Service development team implementing service innovation, working with IT on better technical reporting and development of self service solutions 	4	2	8	Head of Business Intelligence	During 2016/17						

		based	external environment			implementation and to deliver new BI requirements.									
			<ul style="list-style-type: none"> Range of cultural, Information Management, technology and skills issues 			<ul style="list-style-type: none"> Business Partners in post to manage relationships with each Department and with IT 									
All	3.4	If there is insufficient capacity to provide information technology solutions then service improvements and savings will not be achieved	<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 and retention 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Departmental and corporate objectives not met or delayed Delays to project delivery Re-work/re-planning due to clash of priorities <p><u>Financial</u></p> <ul style="list-style-type: none"> Failure to support delivery of efficiency programme and ICT replacement projects 	Assistant Director – Corporate Services / Head of Information Management & Technology	<ul style="list-style-type: none"> I&T work programme provides to forecast and plan for demand Use of external contractors to meet identified specific skills gaps Workforce plan in place to identify, develop, recruit and retain key skills 	4	4	16	Treat	<ul style="list-style-type: none"> Implementation of Information and Technology Strategy Implementation of new Target Operating Model and Service Plan 	4	3	12	Head of Information Management & Technology During 2016/17
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.	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Service delivery adversely affected by out of date data <p><u>People</u></p> <ul style="list-style-type: none"> Details of Vulnerable people at risk of disclosure <p><u>Reputation</u></p> <ul style="list-style-type: none"> Potential adverse media attention and public lack of confidence <p><u>Financial</u></p> <ul style="list-style-type: none"> Potential financial penalties 	Director Children & Family Services	<ul style="list-style-type: none"> 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. Data securely held 	4	4	16	Tolerate	<ul style="list-style-type: none"> Review policy annually to see if position has changed Risk to be reviewed October 2016 with Caldecott Guardian and thereafter on an annual basis Independent Enquiry into Child Sexual Abuse in progress 	4	4	16	Assistant Director – Commissioning & Development / Head of Strategy – Business Support October 2016 and annually thereafter
4. Partnership Working															
C & FS	4.1	If partners do not provide data (Phase 2) then it may not be possible to achieve improved outcomes and financial benefits of Supporting Leicestershire Families (SLF).	<ul style="list-style-type: none"> New phase two outcomes frameworks requires large data collection New framework includes much broader measures to achieve in order to pull down TFU monies 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Reduction in families supported Increase in reactive service demand <p><u>People</u></p> <ul style="list-style-type: none"> Families and individuals do not achieve their potential 	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 services Training for workers to achieve optimum outcomes with families at earliest opportunity Leicestershire has now completed phase one of PBR and pulled down additional funding into the pooled budget SLF Service is now fully up and running and merged into 	5	3	15	Treat	<ul style="list-style-type: none"> Leicestershire to enter PBR phase two months 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 September 2016

				<p><u>Reputation</u></p> <ul style="list-style-type: none"> Loss of confidence in place based solutions <p><u>Financial</u></p> <ul style="list-style-type: none"> Related services unable to reduce budgets if demand not decreased 		<p>C&F Services</p> <ul style="list-style-type: none"> Whole family working is being rolled out across a range of Services Partnership funding secured – Health to review after 6 months (Sept 16) Health and Wellbeing Board sub-group established to monitor progress 									
5. Commissioning & Procurement															
All	5.1	If the Authority does not obtain the required value and level of performance from its providers and suppliers then the cost of services will increase and service delivery will be impacted	<ul style="list-style-type: none"> Lack of robust contract management /performance measures for in-house services Robustness of supply chain Reduced funding and resources Staff turnover leading to lack of continuity in contract management Insufficient investment in contract management skills and competencies 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Business disruption due to cost and time to re-tender the contract Standards/quality not met resulting in reduced customer satisfaction Relationships with providers/suppliers deteriorate <p><u>People</u></p> <ul style="list-style-type: none"> Additional workload where disputes arise <p><u>Reputation</u></p> <ul style="list-style-type: none"> Customer complaints <p><u>Financial</u></p> <ul style="list-style-type: none"> VfM/ Efficiencies not achieved Increased costs as LCC has to pick up the service again Unfunded financial exposure 	Director – Corporate Resources & Transformation / Assistant Director – Corporate Services	<ul style="list-style-type: none"> Departments currently undertake management and monitoring of contracts New Commissioning & Procurement Strategy in place with agreed framework for measuring progress against key principles to identify issues at earliest opportunity New governance arrangements in place Contract Management Framework available in the Toolkit 	5	3	15	Treat	<ul style="list-style-type: none"> Approach to Supplier continuity assurance (based on plans for business critical services) under development Review of organisational contracts with department input to improve contract management and contract KPIs Development of Commissioning Support model to establish and strengthen contract management arrangements LLR and LCC Commissioning Academy underway Further development of Commissioning and Procurement Toolkit Development of informal and formal commissioning training 	4	3	12	Head of Commissioning and Procurement Support During 2016/17
6. Safeguarding															
CFS	6.1	Historic If as a result of a concerted effort to explore historic exploitation and abuse in response to the Independent Inquiry into Child Sexual Abuse and Police Operations then, evidence of previously unknown serious historic issues of child sexual exploitation (CSE) or abuse	Historic Concerted effort to explore historic exploitation and abuse in response to the Independent Inquiry and Police Operations	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Need to review and redesign current service in the light of lessons learnt <p><u>Reputation</u></p> <ul style="list-style-type: none"> Potential adverse media and political risk <p><u>Financial</u></p> <ul style="list-style-type: none"> Increased cost of settling claims and service redesign 	<p><u>Reputation</u></p> <p>Chief Executive</p> <p><u>Reputation & Service Delivery</u></p> <p>Director - Children & Family Services</p> <p><u>Legal</u></p> <p>County Solicitor</p> <p><u>Financial</u></p> <p>Director - Corporate Resources</p>	<ul style="list-style-type: none"> Established Independent Inquiry Strategic Governance Group to oversee planned investigation and information gathering Pro-active engagement with the Independent Inquiry Refreshed Communication Strategy and Implementation Plan Appointed Legal Support and Counsel Member briefings held (*2) Partnership governance is in place 	5	5	25	Treat	<ul style="list-style-type: none"> CSE Executive Role and Terms of Reference require further consideration Establish close working relationships with other authorities Further review of Comms Strategy including Member engagement activity Review of current internal governance arrangements 	5	5	25	<p><u>Reputation</u></p> <p>Chief Executive</p> <p><u>Reputation & Service Delivery</u></p> <p>Director - Children & Family Services</p> <p><u>Legal</u></p> <p>County Solicitor</p> <p><u>Financial</u></p> <p>Director - Corporate Resources</p> <p>Ongoing</p>

		is identified.																	
		<p><u>Current</u></p> <p>If as a result of a concerted effort in response to the Independent Inquiry into Child Sexual Abuse and Police Operation there is a significant increase in identified cases then, the Council does not have the capacity to meet the demand on the CSE resources</p>	<p><u>Current</u></p> <p>Concerted effort in response to the Independent Inquiry and Police Operations result in the significant increase in identified cases</p>	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Increase in the volume of work beyond the capacity of the planned service <p><u>People (Public)</u></p> <ul style="list-style-type: none"> The Council fails to support victims and those at risk <p><u>Reputation</u></p> <ul style="list-style-type: none"> Loss of public confidence in the Council and political instability <p><u>Financial</u></p> <ul style="list-style-type: none"> Increased cost of settlement and service delivery 		<ul style="list-style-type: none"> CSE team embedded in the multi-agency team New operational guidance in place. Programme Board established to oversee delivery LSCB CSE Co-Ordinator in place Costs identified and given approval (£2m) 													
7. Brexit																			
All	7.1	Uncertainty and significant knock on consequences on public services (including potential legal, regulatory, economic and social implications), as a result of the United Kingdom leaving the European Union	Uncertainty and impact on local government	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Uncertainty around ESIF Funding and other funding streams Uncertainty around any potential changes to government policy following the formation of a new government. Lack of steer for local policy making. Impact on the Economy due to uncertainty during the negotiation period. Impact on staffing in commissioning contracts involving high numbers of non UK citizenship e.g. home care and cleaning. <p><u>Legal</u></p> <ul style="list-style-type: none"> Changes in UK/EU legislation e.g. procurement, employment <p><u>Financial</u></p> <ul style="list-style-type: none"> Uncertainty around EU funding, inward investment Further austerity measures and demand pressures <p><u>People</u></p> <ul style="list-style-type: none"> Impact on incumbent workforce who have non UK citizenship e.g. agency workers 	CE/Directors	<ul style="list-style-type: none"> Monitor post Brexit negotiations and national policy direction and maintain an overview of the developing situation 			4	4	16	Treat	<ul style="list-style-type: none"> Work with partners to maximise benefit from existing European bids and programmes Review significant policies relevant to the management of these risks (e.g. investment policy) to ensure they are fit for purpose in the new environment; Assess any impact of the risk assessment on the assumptions used to generate the medium term financial plan Access a diverse range of external funding opportunities Develop policy driven by local need Reflect Brexit impact in revised Enabling Growth Plan Gather intelligence and model future scenarios relating to Brexit impacts to inform future policy. 	4	4	16	Ongoing		

Department

A&C = Adults & Communities

CE = Chief Executives

CR = Corporate Resources

E&T =

PH =

All =

Environment and Transport

Public Health

Consolidated risk

C&FS =

Children and Families Services

Risk Removed from the Corporate Risk Register

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
C&FS	1.2	Local Authority legal requirements to meet deficit budgets from maintained schools becoming sponsored academy, and pressure from Sponsors to meet repair costs.	16	Agreed by Corporate Governance Committee	17 November 2015
E&T	5.2	LLEP-insufficient funding for transport schemes to deliver economic growth and LTP3 /Strategic Plan. Risk regarding match funding requirement for the Council	20	The risk has been downgraded from red to amber as the likelihood has reduced from 4 to 2 following the confirmation of future local growth funding in the Autumn 2015 Statement (further details to follow in the new year). As the risk score has been revised from 20 to10, this risk has been removed from the Corporate Risk Register but it will continue to be monitored through the Environment & Transportation Departmental Risk Register.	19 February 2016
E & T	4,1	Impact of an increase in unplanned and speculative local developments to address the shortfall in the five year housing supply which could have an adverse impact on the functioning of the transport network.	15	The risk has been downgraded from red to amber as the likelihood has been reduced from 5 to 4 as a result of Districts having moved through the consultation phases and firmer programmes are now in place for publishing Core Strategies. LCC is also starting discussions with Districts on possible cumulative impact studies. As the risk score has been revised from 15 to 12, this risk has been removed from the Corporate Risk Register but it will continue to be monitored through the Environment & Transportation Departmental Risk Register.	13 May 2016