

| Dept.   | Risk # | Risk  | Causes (s)  | Consequences (s)  | Risk Owner   | List of current controls  | Current Risk Score |   |            | Risk Response;<br>Tolerate<br>Treat<br>Terminate<br>Transfer | Further Actions / Additional Controls  | Residual Risk |   |            | Action Owner / (Date)  | Action Complete (Yes or No) |
|---|--------|---|---|---|--|---|--------------------|---|------------|--|--|---------------|---|------------|--|-----------------------------|
|   |        |   |   |   |  |   | I                  | L | Risk Score |  |  | I             | L | Risk Score |  |                             |
| <b>1. Medium Term Financial Strategy (MTFS)</b> |        |   |   |   |  |   |                    |   |            |  |  |               |   |            |  |                             |
| 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> | <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> <li>Negative impact on all services as further service cuts will be required to reduce deficit</li> </ul> <p><u>Reputation</u></p> <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> <p><u>Financial</u></p> <ul style="list-style-type: none"> <li>Loss of income</li> <li>Restricted funding from other sources</li> </ul> | Chief Executive/<br>All Directors  | <ul style="list-style-type: none"> <li>Four year MTFS approved</li> <li>Monitoring processes in place at service, departmental and corporate level</li> <li>Progress with savings monitored and reported to Scrutiny Commission regularly</li> <li>Reporting of Transformation Programme aligned with Corporate Finance reporting</li> <li>Progress on savings from Transformation Programme monitored regularly to resolve early issues</li> <li>Design Authority operational following review of Transformation Programme governance.</li> <li>Transformation Programme re-aligned to MTFS</li> <li>Introduction of the Business Consultant role within the TU to focus on supporting the development of Business Case development</li> <li>The TU Business Partners supporting Children and Families to design new departmental programme and to lead the development of OBCs</li> <li>The TU is supporting A&amp;C to review its current programme and to prioritise the development of high risk projects</li> </ul> | 5                  | 5 | 25         | Treat  | <ul style="list-style-type: none"> <li>Assess the impact of announcement to localise business rates</li> <li>Further work on the Council's low funding position to make the case for increased funding to government</li> <li>Produce C&amp;FS SEN overspend recovery plan</li> <li>Work with CCGs to bring Better Care Fund into balance</li> </ul> <p><u>Transformation Programme</u></p> <ul style="list-style-type: none"> <li>Further opportunities for savings to be investigated through development of Corporate Reviews within Transformation Programme</li> <li>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.</li> </ul> | 5             | 5 | 25         | Chief Executive / All Directors<br><br>March 2017                  |                             |
| CE  | 1.3    | If S106 monies for the Council as a whole are not managed properly then there could be financial risks as well as legal challenges  | <ul style="list-style-type: none"> <li>Due to the pooling limitations imposed by the Community Infrastructure Levy Regulations 2010 (as amended) on the use of s106 planning obligations.</li> </ul>  | <p><u>Financial</u></p> <ul style="list-style-type: none"> <li>Failure to secure funds putting LCC at financial risk</li> </ul> <p><u>Reputation</u></p> <ul style="list-style-type: none"> <li>Possible need for challenge / defend challenge in high court</li> </ul>   | Director of Law/<br><br>Head of Planning, Historic & Natural Environment | <ul style="list-style-type: none"> <li>Agreed positions established with District Councils</li> <li>Analysed data of s106 contributions since 2010</li> <li>Infrastructure and Development Oversight Group in place- work programme and timetable in place</li> <li>Approach to projects and pooling established (subject to individual project circumstances).</li> </ul>  | 4                  | 4 | 16         | Treat  | <ul style="list-style-type: none"> <li>Improve procedures and practices - replacement of Atrium (procurement and implementation of new database)</li> </ul>  | 4             | 2 | 8          | Head of Planning, Historic & Natural Environment<br><br>March 2017 |                             |

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|      |     |   |  |   |  | <ul style="list-style-type: none"> <li>Regular updates to Cabinet on planning decisions that do not reflect the County Council's section 106 requirements.</li> <li>Members notified of requests for section 106 contributions that fall within their division.</li> </ul>   |   |   |    |          |   |   |   |    |   |
| 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"> <li>Latest estimates from MMI indicate an increasing liability</li> <li>Proposed settlement from the Independent only up to 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> | <p><u>Financial</u></p> <ul style="list-style-type: none"> <li>Amounts involved are large and LCC is currently the MMI's largest creditor</li> </ul> <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> <li>Reduced funds available to support services</li> </ul> | Director of Finance<br><br>(Corporate Resources) | <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 to mitigate against the consequences of MMI and similar situations</li> <li>Process for defending claims in place</li> <li>Ongoing partnership work with MMI to improve claims handling to reduce and manage losses</li> </ul>  | 4 | 4 | 16 | Tolerate | <ul style="list-style-type: none"> <li>Review reserve levels in light of future claims</li> </ul>   | 4 | 4 | 16 | Head of Internal Audit Service and Insurance Manager<br><br>Ongoing 2016/17 |
| C&FS | 1.5 | <p><u>Social Care</u></p> <p>If the number of high cost social care placements (e.g. external fostering, residential and 16+ supported accommodation) increases (especially in relation to behavioural and CSE issues) then there may be significant pressures on the children's social care placement budget, which funds the care of vulnerable children.</p> | <ul style="list-style-type: none"> <li>High cost placements increasing especially in relation to behaviour &amp; CSE issues</li> </ul>   | <p><u>Financial</u></p> <ul style="list-style-type: none"> <li>High cost and overspending of budget</li> </ul>  | Director - Children & Family Services            | <ul style="list-style-type: none"> <li>Weekly tracking of admissions and discharges of children in care</li> <li>Work with Impower has been completed and has informed the Sufficiency Strategy</li> <li>Focussed recruitment has begun (Parallel Carers; One2One; Supported Lodgings) and further work to achieve performance targets in these areas underway</li> <li>16+ support and placement planning commissioning panel has started</li> <li>Engaged in QUIP with health to review use of Out of County placements</li> <li>Processes have been amended so that requires for residential placements must now be signed off by the Director and requests for independent fostering by the AD for CSC – this is helping to ensure appropriateness and quality of requests and allowing closer scrutiny of processes</li> <li>Monthly high level DMT reviews. Panel meetings also held to look at high cost placements in</li> </ul> | 3 | 5 | 15 | Treat    | <ul style="list-style-type: none"> <li>Word Of Mouth project – six year programme of targeted savings</li> <li>Development of local sufficiency through production of Children in Care Market Position Statement and work with local market to understand demand/requirements around placements</li> <li>A framework for 16+ supported accommodation (including provision for UASC) is currently being commissioned for start date of July 2017</li> <li>Review of recruitment of foster parents (targets set for March 2017 which need to be met)</li> </ul> | 3 | 4 | 12 | Assistant Director- Children's Social Care<br><br>During 2016/17            |

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|      |     |   |   |  |                                       | residential care and to ensure that appropriate plans and resources are in place to support placements   |   |   |    |       |  |   |   |    |  |                |  |
| C&FS | 1.6 | <p><u>Education</u></p> <p>If the provision of support to high needs pupils (including SEN placements) cannot be reduced, then required savings against this budget will not be achieved</p>  | <ul style="list-style-type: none"> <li>Services requesting support for high needs including SEN placements.</li> <li>Insufficient budget</li> </ul> | <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> <li>Unable to meet the needs of all vulnerable children effectively</li> <li>Unable to meet the department's statutory duties around SEN Placements</li> </ul> <p><u>People</u></p> <ul style="list-style-type: none"> <li>Resources tied up in independent provision and not wide benefitting Leicestershire children and young people</li> </ul> <p><u>Reputational</u></p> <ul style="list-style-type: none"> <li>Bad publicity and low confidence in Local Authority to support vulnerable children and young people</li> <li>Low confidence in ability of department to manage it's services, budgets and meet savings targets (MTFS).</li> <li>Poor outcomes at SEND Inspection</li> </ul> <p><u>Financial</u></p> <ul style="list-style-type: none"> <li>Budget overspent / continuing budget overspend which is unsustainable</li> <li>Required savings targets not met</li> </ul> | Director – Children & Family Services | <ul style="list-style-type: none"> <li>High Needs Project Board in place</li> <li>Work with our maintained and academy special schools to increase their capacity to meet higher levels of need</li> <li>Work with Behaviour Partnerships to increase their capacity to offer provision</li> <li>Continue rigorous consideration of cases at SEND Panel</li> <li>Introduction of charges for specialist teaching services</li> <li>New improved contract and procurement arrangements now in place</li> <li>New extended offer ay Oakfield for children with behavioural difficulties is now in place</li> <li>New extended offer at Maplewell Hall for children with Autism now in place</li> <li>review of pupils in independent provision at key transition points</li> </ul> | 5 | 4 | 20 | Treat | <ul style="list-style-type: none"> <li>Criteria for special school placement being reviewed</li> <li>Potential development of Free schools to increase capacity</li> <li>Criteria for EHCP and top up funding being reviewed</li> <li>Review and development of local sufficiency around placements</li> <li>Consideration is to be given to outsourcing SEN placement commissioning, possibly a DPS model.</li> </ul> | 4 | 4 | 16 | Head of Strategy SEND Reform               | During 2016/17 |  |
| C&FS | 1.7 | <p>If suitable placements are unavailable for UASC who arrive in the County, either planned or unplanned, as a result of: potential mandatory requirement to engage in the National Transfer Scheme; resettlement of UASC from Calais in line with the requirements of Dublin III agreement and</p> | <ul style="list-style-type: none"> <li>Insufficient budget</li> </ul>   | <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> <li>Potential inability of service to meet demand from unplanned UASC arriving in the County</li> </ul> <p><u>People</u></p> <ul style="list-style-type: none"> <li>UASC arriving unplanned in the County do not get their needs addressed and appropriate support</li> <li>Pressures on staff (resources to deal with UASC)</li> </ul> <p><u>Reputation</u></p> <ul style="list-style-type: none"> <li>Negative publicity due to department being unable to meet its statutory duties with regards to UASC</li> <li>Threat of Judicial Review and Appeals if not meeting statutory duties with regards to UASC</li> </ul> <p><u>Financial:</u></p> <ul style="list-style-type: none"> <li>Significant cost of providing emergency and additional support for UASC with complex needs</li> <li>National government funding unlikely to meet needs of UASC</li> </ul>                       | Director – Children & Family Services | <ul style="list-style-type: none"> <li>Development of a specialist UASC team - recruitment of manager and some staff to specialist UASC team has taken place ;ongoing development of specialist skills, knowledge and competencies within team</li> <li>Department is part of a regional group that is looking at processes / approaches / potential numbers with regards to UASC</li> </ul>   | 4 | 5 | 20 | Treat | <ul style="list-style-type: none"> <li>Develop general staff knowledge of issues concerning UASC (e.g. statutory duties, issues etc)</li> <li>Develop further specialist / in-house provision for UASC with Fostering and Adoption</li> </ul>  | 4 | 4 | 16 | Assistant Director, Children's Social Care | March 2017     |  |

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|  |            | the Dubs amendment; continuing response to spontaneous cases of UASC arriving in the County, then there will be significant pressures on meeting the department's statutory duties to UASC as well as financial pressures in meeting their complex needs |   | arriving unplanned in County – additional budgetary pressures on department   |  |  |   |   |    |       |   |   |   |    |   |
| <b>2. Health &amp; Social Care Integration</b> |            |  |   |   |  |  |   |   |    |       |   |   |   |    |   |
| A&C  | 2.1        | 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>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)</li> </ul> | <ul style="list-style-type: none"> <li>Staffing resources and contracts that were expected to be funded will need to be reduced or funded from savings elsewhere.</li> </ul>  | Director - Adults & Communities<br>Assistant Director – Strategy & Commissioning | <ul style="list-style-type: none"> <li>Significant use of fixed term contracts. Recruitment now ceased.</li> <li>Assessment of expenditure justified directly by Phase 1 of the Care Act</li> <li>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.</li> <li>Recruitment panel established to review all temporary posts, secondments and vacancies.</li> </ul>  | 4 | 4 | 16 | Treat | <ul style="list-style-type: none"> <li>Workforce Strategy and Implementation Plan to be delivered in 16/17.</li> <li>Departmental structures being reviewed with potential reorganisation by April 2017.</li> <li>Management Action Plan in consultation. Commissioning and Quality Services commences December 2016</li> </ul>   | 3 | 4 | 12 | Assistant Director – Strategy & Commissioning<br><br>During 2016/17   |
| A & C  | 2.2<br>(i) | LLR Sustainability and Transformation Plan (STP) does not lead to the improved outcomes for health and wellbeing of residents, better care and quality of services, and financial sustainability.  | <ul style="list-style-type: none"> <li>Breakdown in maintaining a strong vision and joint partnership working across LLR</li> </ul>   | <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> <li>STP 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>STP 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</li> </ul> | Director- Adults & Communities   | <ul style="list-style-type: none"> <li>5 year Strategic Plan has identified five key strands for change which taken together will help us to eliminate our combined financial gap by 2020/21 and contribute to closing the health and wellbeing and care and quality gaps, the five key strands include the development of :                             <ul style="list-style-type: none"> <li>new models of care focused on prevention, and moderating demand growth, including place based integrated teams, a new model for primary care,</li> </ul> </li> </ul> | 4 | 4 | 16 | Treat | <p>A new System Stakeholder Forum (SSF) is planned to meet three times a year to support the shaping of the strategic direction; identification of priority areas; feedback and sense check on current engagement; identify future issues and test the SLT's thinking on current issues.</p> <p>Workforce Strategy to identify new models of working to manage the increased pressure on resources and to allow for planning to meet this additional demand.</p> <p>2 year local agreement deadline of 23 Dec 2016 which sets out</p> | 4 | 3 | 12 | Director- Adults & Communities<br><br>&<br><br>Assistant Director – Strategy & Commissioning<br><br>Ongoing |

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| A & C | 2.2<br>(ii) | Impact on County Council as a result of left shift initiative | <ul style="list-style-type: none"> <li>Transferring patients early from UHL to ICRS 2 community services</li> </ul> | <p>economy</p> <p><u>Financial</u></p> <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 STP are not achieved, leading to gaps in the financial plan/assumptions for delivering the programme.</li> <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> | <p>Director- Adults &amp; Communities &amp;</p> <p>Assistant Director – Strategy &amp; Commissioning</p> | <p>effective and efficient planned care and an integrated urgent care offer.</p> <ul style="list-style-type: none"> <li>A reconfiguration of hospital based services, subject to consultation.</li> <li>Redesigned pathways to deliver improved outcomes for patients and residents.</li> <li>Operational efficiencies - to support financial sustainability</li> <li>Getting the enablers right- including workforce; IM&amp;T; estates; and health and social care commissioning integration</li> </ul> <ul style="list-style-type: none"> <li>New STP Governance arrangements have been developed which includes a new System Leadership Team (SLT) with membership from the five NHS partner organisations and the three upper tier local authorities.</li> <li>Refreshed finance and capacity modelling is being undertaken as part of the development of the sustainability and transformation plan.</li> </ul> <ul style="list-style-type: none"> <li>Senior Officers from LCC fully engage with Better Care Together work streams to identify the potential increase in demand, impact on social care and how we can mitigate for this.</li> </ul> | 4 | 4 | 16 | Treat | 4 | 3 | 12 | <p>Director- Adults &amp; Communities &amp;</p> <p>Assistant Director – Strategy &amp; Commissioning</p> <p>Ongoing</p> |
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| 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 deputyship in receipt of DLA who were under 65 on 8 April 2013 commences 13/7/15</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> <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> <li>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</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> <li>Maintain Department of Health consultation of proposed new charging and assessment regulations to correspond with the introduction of Universal Credit</li> <li>Received roll out dates for UC for each district. From Nov 16 to March 18 for all new claimants. Existing claimants to follow.</li> </ul> | 4 | 4 | 16 | Director of Adults & Communities / Assistant Director – Strategy & Commissioning / Assistant Chief Executive<br><br>During 2016/17 |  |
| CR & A&C | 2.4 | <p><u>Help to Live at Home (HLAH)</u></p> <p>If the domiciliary care market</p>                                | <ul style="list-style-type: none"> <li>New Service users will not receive the reablement and domiciliary support that they need</li> <li>Existing service users</li> </ul>  | <ul style="list-style-type: none"> <li>Service users would be stuck in hospital beds or would not receive the care and support they need in their own homes.</li> <li>Service users who don't transition would remain with</li> </ul>   | Director - Adults & Communities Assistant Director – Strategy & Commissioning                               | <ul style="list-style-type: none"> <li>HTLAH Steering Group continuing to meet during stabilisation phase. Compliance and Quality Improvement Team providing additional support</li> </ul>  | 4 | 5 | 20 | Treat | <ul style="list-style-type: none"> <li>Every provider has a mobilisation plan which is being monitored on a regular basis by Compliance.</li> <li>Re-procurement of unallocated lots by end of March 2017</li> <li>Programme arrangements will be</li> </ul>  | 4 | 2 | 8  | Director of Adults & Communities / Assistant Director –  |  |

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|  |  | does not have the capacity to provide high quality services to local residents within the county, people may not receive services to meet their needs | will not transition smoothly from exiting providers to new providers <ul style="list-style-type: none"> <li>New service providers will not be able to maintain service levels due to having insufficient staffing</li> <li>Not having relevant information to commission on behalf of health</li> <li>The Council will be unable to commission care for CHC patients because of inadequate information provided by NHS colleagues</li> <li>HART capacity to refocus on hospital discharge step-down compromised due to migration issues</li> </ul> | providers where the Council has no contractual agreement. <ul style="list-style-type: none"> <li>Difficult for the Payments Team to align high number of errors/non-payment due to inaccurate CPLI's</li> <li>Maintenance cases increasing and ability to transfer to independent sector reduced</li> </ul> |  | and oversight of higher risk providers. Weekly sit rep reports from all Providers outlining activity capacity and service failures. |  |  |  |  |  |  |  |  | extended to 31 Mar 2017. Programme Closure plan in development to manage transition to business as usual for all key activities. |  |  | Strategy & Commissioning / Assistant Chief Executive<br>March 2017 |
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**3. ICT, Information Security**

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| CR | 3.1 | If there is an outage ICT systems may not be able to be restored quickly and effectively which could have a major impact on service delivery | <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 – Corporate Services<br><br>/ Head of Information Management & Technology | <ul style="list-style-type: none"> <li>DR testing completed on all critical systems</li> <li>Romulus court can now recover services within minutes</li> <li>Host server 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>Updated frequency of 'snapshots' enables data to be restored to a more recent time</li> <li>Data Centre complete</li> <li>Server virtualisation programme complete</li> </ul> | 5 | 3 | 15 | Treat | <ul style="list-style-type: none"> <li>Workshop to review approach to cyber security risks based on hacker/virus scenario completed and recommendations presented to Security Controls Group and approved by the IT Board - Work is now in progress to implement the recommendations from the Security Controls Group</li> <li>DR test strategy updated and signed off by DR Governance Group and final sign off by I&amp;T Board. The Strategy to be presented to I&amp;T Board in Jan 2017</li> </ul> | 3 | 3 | 9  | Head of Information Management & Technology<br><br>March 2017 |
| CR | 3.2 | If there is a failure to protect the integrity confidentiality and access to data and information then there could be a                      | <ul style="list-style-type: none"> <li>Increased information sharing and direct access to systems across partnerships</li> <li>Increased demand for flexible working increases vulnerability</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</li> </ul>  | Assistant Director – Corporate Services<br><br>/ Head of Information Management &            | <ul style="list-style-type: none"> <li>New, simplified Information Security and Acceptable Use Policy in place</li> <li>PSN compliance achieved</li> <li>Regular penetration testing and enhanced IT health</li> </ul>   | 4 | 4 | 16 | Treat | <ul style="list-style-type: none"> <li>Further work on perimeter security</li> </ul>  | 4 | 3 | 12 | Head of Information Management & Technology                   |

|     |     |   |  |   |  |   |   |   |    |       |   |   |   |    |   |            |  |
|-----|-----|---|--|---|--|---|---|---|----|-------|---|---|---|----|---|------------|--|
|     |     | breach of information security.   | <ul style="list-style-type: none"> <li>of personal, sensitive data taken offsite.</li> <li>More hosted technology services</li> <li>Greater emphasis on 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>result in the Council being disconnected from PSN services, with possible impact 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>   | Technology   | <ul style="list-style-type: none"> <li>checks in place</li> <li>Improved guidance about data transfer tools in place</li> <li>Programme of communications in place to re-inforce data security practices</li> <li>Mobile device management process in place</li> <li>New security governance arrangements in place</li> <li>Increased communication and guidance on cyber security issues</li> <li>E-learning for all staff in place</li> <li>Induction process includes requirements around information security</li> <li>New firewall in place providing two layers of security protection in line with PSN best practice</li> <li>Development of e learning refresher course</li> <li>Improved monitoring of e-learning completion through the new Learning Management System</li> <li>Development and implementation of Intrusion Detection Policy</li> </ul> |   |   |    |       |   |   |   |    |   | March 2017 |  |
| 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 based | <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> </ul> | <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> <li>Service change &amp; commissioning decisions are not underpinned by robust evidence and are therefore sub-optimal</li> </ul> <p><u>Reputation</u></p> <ul style="list-style-type: none"> <li>Failure to meet statutory requirements</li> </ul> <p><u>Financial</u></p> <ul style="list-style-type: none"> <li>Savings targets are missed or delayed due to lack of quality data to inform decision making</li> </ul> <p><u>People</u></p> <ul style="list-style-type: none"> <li>The people of Leicestershire do not get the best services</li> </ul> | Assistant Chief Executive/ Head of Business Intelligence | <ul style="list-style-type: none"> <li>Data and BI Board established Head of BI in post and new BI Service structure in place.</li> <li>DBI Strategy in place.</li> <li>BI Development team established to take forward data and technology strands of DBI Strategy including new technical reporting arrangements working with IT and oversee development of self-service solutions..</li> <li>DBI Implementation Group established to oversee the implementation of the Strategy and report back to the DBI Board.</li> <li>Business Partners in post to manage relationships with each Department and with IT</li> </ul>   | 5 | 3 | 15 | Treat | <ul style="list-style-type: none"> <li>Quarterly progress review, reporting to DBI Board.</li> <li>Service development team implementing service innovation, working with IT on better technical reporting and development of self service solutions</li> </ul> | 4 | 2 | 8  | Head of Business Intelligence               | March 2017 |  |
| All | 3.4 | If there is insufficient capacity to provide information technology   | <ul style="list-style-type: none"> <li>Imbalance of IT resources versus IT requirements</li> <li>Demand outweighs supply</li> <li>Loss of knowledge</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> <li>Re-work/re-planning due to clash of priorities</li> </ul>   | Assistant Director – Corporate Services / Head of        | <ul style="list-style-type: none"> <li>I&amp;T work programme provides to forecast and plan for demand</li> <li>Use of external contractors to meet identified specific skills gaps</li> </ul>  | 4 | 4 | 16 | Treat | <ul style="list-style-type: none"> <li>Implementation of Information and Technology Strategy</li> <li>Implementation of new Target Operating Model and Service Plan</li> </ul>  | 4 | 3 | 12 | Head of Information Management & Technology |            |  |



|                        |     |  |  |   |  |  |   |   |    |          |   |   |   |    |  |            |  |
|------------------------|-----|--|--|---|--|--|---|---|----|----------|---|---|---|----|--|------------|--|
|                        |     | solutions then service improvements and savings will not be achieved   | and lack of continuity as a result of staff turnover and/or inadequate investment in skills and competencies<br><ul style="list-style-type: none"> <li>Difficulties in recruitment and retention</li> </ul>  | <u>Financial</u> <ul style="list-style-type: none"> <li>Failure to support delivery of efficiency programme and ICT replacement projects</li> </ul>   | Information Management & Technology  | <ul style="list-style-type: none"> <li>Workforce plan in place to identify, develop, recruit and retain key skills</li> </ul>  |   |   |    |          |   |   |   |    |  | March 2017 |  |
| C&FS                   | 3.5 | Breach of Data Protection Act - retention of files longer than required  | Decommissioning of Adult Case management System (SSIS)<br>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>   | Director<br><br>Children & Family Services   | <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> <li>Risk to be reviewed October 2016 with Caldecott Guardian and thereafter on an annual basis</li> <li>Independent Enquiry into Child Sexual Abuse in progress and during inquiry no files can be destroyed</li> </ul> | 4 | 4 | 16 | Assistant Director – Commissioning & Development / Head of Strategy – Business Support<br><br>October 2016 and annually thereafter |            |  |
| 4. Partnership Working |     |  |  |   |  |  |   |   |    |          |   |   |   |    |  |            |  |
| C &FS                  | 4.2 | If LCC is not able to provide adequate outcome data to partners then partner contributions to the pooled budget may not continue | <ul style="list-style-type: none"> <li>Lack of consistency in partner information requirements</li> <li>Inability to get required data due to information sharing barriers for and/or access to required data through partners.</li> </ul>   | <u>Service Delivery</u> <ul style="list-style-type: none"> <li>Reduction in families supported</li> <li>Increase in reactive service demand</li> </ul> <u>People</u> <ul style="list-style-type: none"> <li>Families and individuals do not achieve their potential</li> </ul> <u>Reputation</u> <ul style="list-style-type: none"> <li>Loss of confidence in place based solutions</li> </ul> <u>Financial</u> <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- Education and Early Help | <ul style="list-style-type: none"> <li>New consent form rolled out to SLF to allow us to obtain NHS numbers</li> <li>Data set agreed with CCG</li> <li>Further data is being gathered in order to demonstrate Health metrics (in partnership with Health Colleagues)</li> </ul>    | 5 | 3 | 15 | Treat    | <ul style="list-style-type: none"> <li>Work with GPs to produce case studies</li> <li>Ongoing regular monitoring of outcomes data</li> </ul>  | 5 | 3 | 15 | Assistant Director- Education and Early Help<br><br>March 2017   |            |  |

| 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"> <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> | <p><u>Service Delivery</u></p> <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> <p><u>People</u></p> <ul style="list-style-type: none"> <li>Additional workload where disputes arise</li> </ul> <p><u>Reputation</u></p> <ul style="list-style-type: none"> <li>Customer complaints</li> </ul> <p><u>Financial</u></p> <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</li> </ul>  | Director – Corporate Resources & Transformation / Assistant Director – Corporate Services  | <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 agreed framework for measuring progress against key principles to identify issues at earliest opportunity</li> <li>New governance arrangements in place</li> <li>Contract Management Framework available in the Toolkit</li> <li>Recruitment completed for Commissioning Support Unit to strengthen contract management arrangements</li> <li>LLR and LCC Commissioning Programmes completed</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) under development</li> <li>Review of organisational contracts with department input to improve contract management and contract KPIs</li> <li>Further development of Commissioning and Procurement Toolkit</li> <li>Development of informal and formal commissioning training</li> </ul>   | 4 | 3 | 12 | Head of Commissioning and Procurement Support<br>March 2017   |
| 6. Safeguarding                |     |  |  |  |  |  |   |   |    |       |   |   |   |    |   |
| CFS                            | 6.1 | <p><u>Historic:</u><br/>If as a result of a concerted effort to explore abuse by the Independent Inquiry into Child Sexual Abuse (IICSA) and Police Operations, then evidence of previously unknown serious historic issues of child sexual exploitation (CSE) or abuse is identified.</p> <p><u>Current:</u><br/>If as a result of a concerted effort by the IICSA and Police Operations there is a significant</p> | <p><u>Historic</u><br/>Concerted effort to explore historic exploitation and abuse in response to the Independent Inquiry and Police Operations</p> <p><u>Current</u><br/>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"> <li>Need to review and redesign current service in the light of lessons learnt</li> </ul> <p><u>Reputation</u></p> <ul style="list-style-type: none"> <li>Potential adverse media and political risk</li> </ul> <p><u>Financial</u></p> <ul style="list-style-type: none"> <li>Increased cost of settling claims and service redesign</li> </ul> <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> <li>Increase in the volume of work beyond the capacity of the planned service</li> </ul> <p><u>People (Public)</u></p> <ul style="list-style-type: none"> <li>The Council fails to support victims and those at risk</li> </ul> <p><u>Reputation</u></p> <ul style="list-style-type: none"> <li>Loss of public confidence in</li> </ul> | <p><u>Reputation</u><br/>Chief Executive</p> <p><u>Reputation &amp; Service Delivery</u><br/>Director - Children &amp; Family Services</p> <p><u>Legal</u><br/>County Solicitor</p> <p><u>Financial</u><br/>Director - Corporate Resources</p> | <p><u>Historic</u></p> <ul style="list-style-type: none"> <li>Established Independent Inquiry Strategic Governance Group to oversee planned investigation and information gathering</li> <li>Pro-active engagement with the Independent Inquiry</li> <li>Refreshed Communication Strategy and Implementation Plan</li> <li>Appointed Legal Support and Counsel</li> <li>Member briefings held (x2)</li> <li>Partnership governance is in place</li> <li>CSE Executive Role and Terms of Reference revised and agreed</li> </ul> <p><u>Current</u></p> <ul style="list-style-type: none"> <li>CSE team embedded in the multi-agency team</li> <li>New operational guidance</li> <li>Operational group established to oversee delivery</li> <li>LLR CSE Co-ordinator in place</li> <li>Costs identified and given</li> </ul> | 5 | 5 | 25 | Treat | <p><u>Historic</u></p> <ul style="list-style-type: none"> <li>Establish close working relationships with other authorities</li> <li>Further revision of Comms Strategy</li> <li>Review of current internal governance arrangements</li> <li>Continue to work closely with the IICSA team</li> <li>Set funding aside to meet the costs of the inquiry</li> <li>Review activity in the light of the delay to the Janner investigation public hearings</li> <li>Carefully plan activity and monitor progress and expenditure</li> </ul> <p><u>Current</u></p> <ul style="list-style-type: none"> <li>Ensure development of an effective Council wide approach</li> <li>Implement remaining SPDF CSE Project work streams</li> <li>Leicester City joining LLR team</li> </ul> | 5 | 5 | 25 | <p><u>Reputation</u><br/>Chief Executive</p> <p><u>Reputation &amp; Service Delivery</u><br/>Director - Children &amp; Family Services</p> <p><u>Legal</u><br/>County Solicitor</p> <p><u>Financial</u><br/>Director - Corporate Resources</p> <p>Ongoing</p> |

|                  |     |  |  |  |              |  |   |   |    |       |   |   |   |    |         |
|------------------|-----|--|--|--|--------------|--|---|---|----|-------|---|---|---|----|---------|
|                  |     | increase in identified cases, then the Council does not have the capacity to meet the demand on the CSE resources.   |  | the Council and political instability<br><u>Financial</u><br><ul style="list-style-type: none"> <li>Increased cost of settlement and service delivery</li> </ul>   |              | approval (£2m)<br><ul style="list-style-type: none"> <li>Implementation of additional services and controls following successful bid to Office of the Police &amp; Crime Commissioner (£1.23m) - SPDF CSE Project Board established</li> <li>CSE Executive Role and Terms of Reference revised and agreed</li> <li>Refreshed strategy and action plan in place and implemented from December 2016</li> </ul> |   |   |    |       |   |   |   |    |         |
| <b>7. Brexit</b> |     |  |  |  |              |  |   |   |    |       |   |   |   |    |         |
| All              | 7.1 | Uncertainty and significant knock on consequences on public services (including potential legal, regulatory, economic and social implications), and the local economy as a result of the United Kingdom leaving the European Union | Uncertainty and impact on local government | <u>Service Delivery</u> <ul style="list-style-type: none"> <li>Uncertainty around ESIF Funding and other funding streams</li> <li>Uncertainty around any potential changes to government policy following the formation of a new government. Lack of steer for local policy making.</li> <li>Impact on the Economy due to uncertainty during the negotiation period.</li> <li>Impact on staffing in commissioning contracts involving high numbers of non UK citizenship e.g. home care and cleaning.</li> </ul> <u>Legal</u> <ul style="list-style-type: none"> <li>Changes in UK/EU legislation e.g. procurement, employment</li> </ul> <u>Financial</u> <ul style="list-style-type: none"> <li>Uncertainty around EU funding, inward investment</li> <li>Further austerity measures and demand pressures</li> </ul> <u>People</u> <ul style="list-style-type: none"> <li>Impact on incumbent workforce who have non UK citizenship e.g. agency workers</li> </ul> | CE/Directors | <ul style="list-style-type: none"> <li>Monitor post Brexit negotiations and national policy direction and maintain an overview of the developing situation</li> </ul>  | 4 | 4 | 16 | Treat | <ul style="list-style-type: none"> <li>Work with partners to maximise benefit from existing European bids and programmes</li> <li>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;</li> <li>Assess any impact of the risk assessment on the assumptions used to generate the medium term financial plan</li> <li>Access a diverse range of external funding opportunities</li> <li>Develop policy driven by local need</li> <li>Reflect Brexit impact in revised Enabling Growth Plan</li> <li>Gather intelligence and model future scenarios relating to Brexit impacts to inform future policy.</li> </ul> | 4 | 4 | 16 | Ongoing |

**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

**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).<br><br>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.<br><br>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      |