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| Dept. | Risk # | Risk | Causes (s) | Consequences (s) | Risk Owner | List of current controls | I | L | Risk Score | | Further Actions / Additional Controls | | | | | I |
| 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 Introduction of the Business Consultant role within the TU to focus on supporting the development of Business Case development The TU Business Partners supporting Children and Families to design new departmental programme and to lead the development of OBCs The TU is supporting A&C to review its current programme and to prioritise the development of high risk projects | 5 | 5 | 25 | 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 Produce C&FS SEN overspend recovery plan Work with CCGs to bring Better Care Fund into balance and agree investment programme for additional BCF funding. <p><u>Transformation Programme</u></p> <ul style="list-style-type: none"> Further opportunities for savings to be investigated through development of Deliverability Assessments and refreshed 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 | 5 | 25 | Chief Executive / All Directors During 2017/18 | 25 |
| 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"> Due to the pooling limitations imposed by the Community Infrastructure Levy Regulations 2010 (as amended) on the use of s106 planning obligations. | <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 & Governance 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 | 4 | 4 | 16 | Treat | <ul style="list-style-type: none"> Improve procedures and practices - replacement of Atrium (procurement and implementation of new database) Developer Contributions Policy under active review | 4 | 2 | 8 | Head of Planning, Historic & Natural Environment During 2017/18 | |

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| | | | | | | <ul style="list-style-type: none"> 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 section 106 contributions that fall within their division. | | | | | | | | | |
| CR | 1.4 | <p>If claims relating to uninsured risks continue to increase then there will be significant pressure on reserves, impacting on service provision</p> | <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 2017/18 |
| 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"> 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"> Weekly tracking of admissions and discharges of children in care Work with Impower has been completed and has informed the Sufficiency Strategy Focused recruitment has begun (Parallel Carers; One2One; Supported Lodgings) and further work to achieve performance targets in these areas underway 16+ support and placement planning commissioning panel has started Engaged in QUIP with health to review use of Out of County placements 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 | 3 | 5 | 15 | Treat | <ul style="list-style-type: none"> Word Of Mouth project – six year programme of targeted savings Development of local sufficiency through production of Children in Care Market Position Statement and work with local market to understand demand/requirements around placements A framework for 16+ supported accommodation (including provision for UASC) is currently being commissioned for start date of July 2017 Review of recruitment of foster parents (targets set for March 2017 which need to be met Approach to Fostering being looked at by Transformation Unit Work to look ways to incentivise fostering | 3 | 4 | 12 | Director - Children & Family Services During 2017/18 |

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| | | | | | | <ul style="list-style-type: none"> Monthly high level DMT reviews. Panel meetings also held to look at high cost placements in residential care and to ensure that appropriate plans and resources are in place to support placements Cohorts of children being targeted for lower cost measures | | | | | | | | | |
| 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"> Services requesting support for high needs including SEN placements. Insufficient budget | <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Unable to meet the needs of all vulnerable children effectively Unable to meet the department's statutory duties around SEN Placements <p><u>People</u></p> <ul style="list-style-type: none"> Resources tied up in independent provision and not wide benefitting Leicestershire children and young people <p><u>Reputational</u></p> <ul style="list-style-type: none"> Bad publicity and low confidence in Local Authority to support vulnerable children and young people Low confidence in ability of department to manage it's services, budgets and meet savings targets (MTFS). Poor outcomes at SEND Inspection <p><u>Financial</u></p> <ul style="list-style-type: none"> Budget overspent / continuing budget overspend which is unsustainable Required savings targets not met | Director – Children & Family Services | <ul style="list-style-type: none"> High Needs Project Board in place Work with our maintained and academy mainstream and special schools to increase their capacity to meet higher levels of need Work with Behaviour Partnerships to increase their capacity to offer provision New improved contract and procurement arrangements now in place New extended offer at Oakfield for children with behavioural difficulties is now in place New extended offer at Maplewell Hall and Birchwood School for children with Autism now in place review of pupils in independent provision at key transition points | 5 | 4 | 20 | Treat | <ul style="list-style-type: none"> Development of mainstream resource and special school capacity Criteria for EHCP and top up funding being reviewed Consideration is to be given to outsourcing SEN placement commissioning, possibly a DPS model Develop plan to achieve necessary savings as set out in the MTFS Review of STS services (Transformation Unit) Review of Behaviour Partnerships | 4 | 4 | 16 | Head of Strategy SEND Reform During 2017/18 |
| 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;</p> | <ul style="list-style-type: none"> Insufficient budget | <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Potential inability of service to meet demand from unplanned UASC arriving in the County <p><u>People</u></p> <ul style="list-style-type: none"> UASC arriving unplanned in the County do not get their needs addressed and appropriate support Pressures on staff (resources to deal with UASC) <p><u>Reputation</u></p> <ul style="list-style-type: none"> Negative publicity due to department being unable to meet its statutory duties with regards to UASC Threat of Judicial Review and Appeals if not meeting statutory | Director – Children & Family Services | <ul style="list-style-type: none"> 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 Department is part of a regional group that is looking at processes / approaches / potential numbers with regards to UASC | 4 | 5 | 20 | Treat | <ul style="list-style-type: none"> Develop general staff knowledge of issues concerning UASC (e.g. statutory duties, issues etc.) Develop further specialist / in-house provision for UASC with Fostering and Adoption | 4 | 4 | 16 | Director – Children & Family Services During 2017/18 |

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| | | resettlement of UASC from Calais in line with the requirements of Dublin III agreement and 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 | | <p>duties with regards to UASC</p> <p><u>Financial:</u></p> <ul style="list-style-type: none"> • Significant cost of providing emergency and additional support for UASC with complex needs • National government funding unlikely to meet needs of UASC arriving unplanned in County – additional budgetary pressures on department | | | | | | | | | | | |
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2. Health & Social Care Integration

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| A &C | 2.2 (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"> • Breakdown in maintaining a strong vision and joint partnership working across LLR | <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> • 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 • STP 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 STP 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 | Director- Adults & Communities | <ul style="list-style-type: none"> • 5 year Strategic Plan has identified five key strands for change, they include the development of : • new models of care focused on prevention, and moderating demand growth, and an integrated urgent care offer. • A reconfiguration of hospital based services, subject to consultation. • Redesigned pathways to deliver improved outcomes for patients and residents. • Operational efficiencies - to support financial sustainability • Getting the enablers right- including workforce; IM&T; estates; and health and social care commissioning integration • 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. | 4 | 4 | 16 | Treat | <ul style="list-style-type: none"> • A new System Stakeholder Forum (SSF) will 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. • 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. • Review of STP to be undertaken during summer of 2017 with a view to submission of final STP in the Autumn | 4 | 3 | 12 | Director- Adults & Communities & Assistant Director – Strategy & Commissioning Ongoing | 28 |
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| A & C | 2.2 (ii) | Impact on County Council as a result of left shift initiative | <ul style="list-style-type: none"> Transferring patients early from UHL to ICRS 2 community services | <p>within the Strategic Outline Case.</p> <p><u>People</u></p> <ul style="list-style-type: none"> Partners are unable to provide sufficient staffing resource to deliver the programme leading to failure to deliver at the required pace and scale Lack of LLR integrated workforce plans <p><u>Reputational</u></p> <ul style="list-style-type: none"> The communication and engagement plan for BCT is ineffective leading to lack of public support or opposition to the plans <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 | <ul style="list-style-type: none"> Refreshed finance and capacity modelling is being undertaken as part of the development of the sustainability and transformation plan. Working closely with health to identify the potential increase in demand, impact on social care and how we can mitigate for this. Development of new models of care including integrated locality teams and Home First services will identify any cost pressures | 4 | 4 | 16 | Treat | <ul style="list-style-type: none"> Mitigation – demand modelling to incorporate an understanding of inter relationship between health and social care. Utilise Caretrak as a tool to further develop understanding of potential impacts and corrective action required. Ongoing involvement of social care across STP work streams to determine impact of left shift initiatives. More robust recording of both activity and cost will support a more robust understanding of contributory factors, leading to a more accurate identification of demand management opportunities. | 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 by the Welfare Reform Act | <ul style="list-style-type: none"> Decreased income Continual economic climate High unemployment / Reduction in wage increases Changes in the benefit system Introduction of Universal Credit transfers responsibility to vulnerable people Inadequate information for business cases jeopardising robust decision making More demand for advice services No central funding for | <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Service users losing support/income leading to a rise in number of people needing support from LCC and other local agencies <p><u>People</u></p> <ul style="list-style-type: none"> Families less able to maintain independence Difficulty in identifying and implementing effective preventative measures 'Hard to reach' groups slip through the net <p><u>Reputation</u></p> <ul style="list-style-type: none"> Cases of hardship / lack of support in media Potential inspection | Director of Adults & Communities / Assistant Director – Strategy & Commissioning/ Assistant Chief Executive | <ul style="list-style-type: none"> A&C finance team monitoring impact of benefit changes on departmental income and debt recovery. Debt strategy plan approved and being implemented. Information booklet on major WRA changes developed and circulated to all A&C staff. | 4 | 4 | 16 | Treat | <ul style="list-style-type: none"> Maintain awareness of legislative changes and timing of Welfare Reform Act roll-out. All new claims for service users in Harborough and Melton will have to be for Universal Credit from November 2016 (for those that would have previously claimed for any benefit that UC replaces). Claims for UC must be made online which causes a barrier for service users who don't have access to computers. It also affects LCC ability to help these service users. Awaiting DOH consultation on proposed new charging & | 4 | 4 | 16 | Director of Adults & Communities / Assistant Director – Strategy & Commissioning / Assistant Chief Executive During 2017/18 |

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| | | | information provided by NHS colleagues | | | | | | | | | | | | | | |
| | | | <ul style="list-style-type: none"> HART capacity to refocus on hospital discharge step-down compromised due to migration issues. | | | | | | | | | | | | | | |
| 3. ICT, Information Security | | | | | | | | | | | | | | | | | |
| 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"> 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 <p><u>People</u></p> <ul style="list-style-type: none"> Alternate business continuity arrangements likely to result in backlogs of work <p><u>Reputation</u></p> <ul style="list-style-type: none"> Negative stories in press Key partners impacted may influence contract renewal <p><u>Financial</u></p> <ul style="list-style-type: none"> Potential penalties Additional costs related to internal and external recovery | Assistant Director – Corporate Services / Head of Information Management & Technology | <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 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 Data Centre complete Server virtualisation programme complete Full disaster recovery test including user test-effectively undertaken as part of new data centre go-live. | 5 | 3 | 15 | Treat | <ul style="list-style-type: none"> 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 DR Test Strategy to be presented to I&T Board | 3 | 3 | 9 | Head of Information Management & Technology During 2017/18 | | |
| 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 | <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 | 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 | 4 | 4 | 16 | Treat | <ul style="list-style-type: none"> Further work on perimeter security Increase take up of corporate E-Learning Action plan in place to move towards compliance with the new EU General Data Protection Regulation (new data protection act) ICO Audit in September 2017 will give improvement plan in key areas | 4 | 3 | 12 | Head of Information Management & Technology During 2017/18 | | |

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| | | | open up access to personal sensitive data and information to support integration of services and development of business intelligence. | <u>Reputation</u> <ul style="list-style-type: none"> • Damage to LCC reputation <u>Financial</u> <ul style="list-style-type: none"> • Financial penalties | | <ul style="list-style-type: none"> • security issues • E-learning for all staff in place- made mandatory for all staff. All staff enrolled first of February 2017 • Induction process includes requirements around information security • New firewall in place providing two layers of security protection in line with PSN best practice • Development of e learning refresher course • Improved monitoring of e-learning completion through the new Learning Management System • Development and implementation of Intrusion Detection Policy | | | | | | | | | |
| 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"> • No clearly defined corporate Business Intelligence (BI) function • Insufficient BI on customers and cost of services • Reduced research, performance and finance support for projects • Inadequate data quality and data sharing • Demand influenced by unmanageable external environment • Range of cultural, Information Management, technology and skills issues | <u>Service Delivery</u> <ul style="list-style-type: none"> • Service change & commissioning decisions are not underpinned by robust evidence and are therefore sub-optimal <u>Reputation</u> <ul style="list-style-type: none"> • Failure to meet statutory requirements <u>Financial</u> <ul style="list-style-type: none"> • Savings targets are missed or delayed due to lack of quality data to inform decision making <u>People</u> <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"> • DBI Board and Implementation Group meeting regularly and new BI Service structure in place. • DBI Strategy and Implementation Plan in place. • 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. • Business Partners in post to manage relationships with each Department and with IT. • Quarterly progress review reporting to DBI Board. | 5 | 3 | 15 | Treat | <ul style="list-style-type: none"> • Technical arrangements have progressed well and new structures have become embedded. Tableau site licence successfully implemented, which will enable more people to self-serve and have more immediate access to their data. However, the upgrade from FWI to mosaic will create some additional pressure on children's social care reporting in the short term and so the risk score has been maintained at the 2016/17 levels. • Mosaic project team set up to manage migration of performance reports from Fwi to Mosaic, meeting every 2 weeks. • Project plan is being developed and implementation is on schedule | 5 | 2 | 10 | Head of Business Intelligence During 2017/18 |
| 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 | <u>Service Delivery</u> <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 <u>Financial</u> <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 forward work programme to forecast and plan for demand • External contractors employed to meet identified specific skill gaps • Workforce plan in place to identify, develop, recruit and retain key skills • I&T Strategy agreed by the I &T board. | 4 | 4 | 16 | Treat | <ul style="list-style-type: none"> • Implementation of new Target Operating Model and Service Plan | 4 | 3 | 12 | Head of Information Management & Technology During 2017/18 |

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| 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 Policy reviewed (2016/17) | 4 | 4 | 16 | Tolerate | <ul style="list-style-type: none"> Review policy annually to see if position has changed Independent Enquiry into Child Sexual Abuse in progress and during inquiry no files can be destroyed | 4 | 4 | 16 | Director Children & Family Services October 2017 and annually thereafter | |
| 4. Commissioning & Procurement | | | | | | | | | | | | | | | | |
| All | 4.1 | 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 Recruitment completed for Commissioning Support Unit to strengthen contract management arrangements LLR and LCC Commissioning Programmes completed | 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 Further development of Commissioning and Procurement Toolkit Development of informal and formal commissioning training | 4 | 3 | 12 | Head of Commissioning and Procurement Support During 2017/18 | |
| 5. Safeguarding | | | | | | | | | | | | | | | | |
| CFS | 5.1 | <u>Historic:</u> If as a result of a concerted effort to explore abuse by the Independent Inquiry into Child Sexual Abuse (IICSA) | <u>Historic</u> 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>Reputation</u></p> <p>Chief Executive</p> <p><u>Reputation & Service Delivery</u></p> | <p><u>Historic</u></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 | 5 | 5 | 25 | Treat | <p><u>Historic</u></p> <ul style="list-style-type: none"> Establish close working relationships with other authorities Further revision of Comms Strategy | 4 | 5 | 20 | <p><u>Reputation</u></p> <p>Chief Executive</p> <p><u>Reputation & Service Delivery</u></p> | |

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| | | and Police Operations, then evidence of previously unknown serious historic issues of child sexual exploitation (CSE) or abuse is identified. <u>Current:</u> If as a result of a concerted effort by the IICSA and Police Operations there is a significant increase in identified cases, then the Council does not have the capacity to meet the demand on the CSE resources. | <u>Current</u> Concerted effort in response to the Independent Inquiry and Police Operations result in the significant increase in identified cases | <u>Financial</u> <ul style="list-style-type: none"> Increased cost of settling claims and service redesign <u>Service Delivery</u> <ul style="list-style-type: none"> Increase in the volume of work beyond the capacity of the planned service <u>People (Public)</u> <ul style="list-style-type: none"> The Council fails to support victims and those at risk <u>Reputation</u> <ul style="list-style-type: none"> Loss of public confidence in the Council and political instability <u>Financial</u> <ul style="list-style-type: none"> Increased cost of settlement and service delivery | Director - Children & Family Services <u>Legal</u> Director of Law & Governance <u>Financial</u> Director - Corporate Resources | <ul style="list-style-type: none"> Refreshed Communication Strategy and Implementation Plan Appointed Legal Support and Counsel Member briefings held (x2) Partnership governance is in place CSE Executive Role and Terms of Reference revised and agreed <u>Current</u> <ul style="list-style-type: none"> CSE team embedded in the multi-agency team New operational guidance Operational group established to oversee delivery LLR CSE Co-ordinator in place Costs identified and given approval (£2m) Implementation of additional services and controls following successful bid to Office of the Police & Crime Commissioner (£1.23m) - SPDF CSE Project Board established CSE Executive Role and Terms of Reference revised and agreed Refreshed strategy and action plan in place and implemented from December 2016 Leicester City Council now joined the LLR team, currently co-located | | | | | | | | <ul style="list-style-type: none"> Review of current internal governance arrangements Continue to work closely with the IICSA team Set funding aside to meet the costs of the inquiry Review activity in the light of the delay to the Janner investigation public hearings Carefully plan activity and monitor progress and expenditure <u>Current</u> <ul style="list-style-type: none"> Ensure development of an effective Council wide approach Implement remaining SPDF CSE Project work streams Leicester City joining LLR team - currently co-located and full integration still being worked on | | | | Director - Children & Family Services <u>Legal</u> Director of Law & Governance <u>Financial</u> Director - Corporate Resources Ongoing |
| 6. Brexit | | | | | | | | | | | | | | | | | | |
| All | 6.1 | Uncertainty and significant knock on consequences on public services (including potential legal, regulatory, economic and social implications), and the local economy as a | Uncertainty and impact on local government | <u>Service Delivery</u> <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 | 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 | 4 | 4 | 16 | | | | |

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|--|--|---|--|--|--|--|--|--|--|--|--|--|---------|--|
| | | result of the United Kingdom leaving the European Union | | <p>commissioning contracts involving high numbers of non UK citizenship e.g. home care and cleaning.</p> <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> <p>Impact on incumbent workforce who have non UK citizenship e.g. agency workers</p> | | | | | | external funding opportunities | | | Ongoing | |
| | | | | | | | | | | <ul style="list-style-type: none"> 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. The LLEP's Business Board has agreed to monitor Brexit impacts (both negative and positive) on the economy and the Economic Growth Team will undertake this work for the LEP | | | | |

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

35

| 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 to 10, 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 |
| A&C | 2.1 | Care Act 2014 Funding Risk for 2016/17 and beyond due to Care Act Phase 2 implementation delayed by Ministers until April 2020 | 16 | The current risk score has been reduced from 16 to 12 as a result of ongoing implementation of the Adult Social Care restructure, which has enabled the department to ensure the risk of unfunded posts, is significantly reduced. The Commissioning and Quality Action Plan has been completed and the Care Pathway and Business Support action plans are in progress. The risk will continue to be monitored as part of the A&C Departmental Risk Register | 26 May 2017 |
| C&FS | 4.1 | Supporting Leicestershire Families (SLF) - If LCC is not able to provide adequate outcomes data to partners then partner contributions to the pooled budget may not continue. | 15 | The risk has been reviewed (Assistant Director – Education & Early Help) and the current risk score re-evaluated and reduced so that this is now being managed within the Supporting Leicestershire Families Delivery Plan. The risk has been reduced as all partners have agreed continued funding and further work has been undertaken on outcomes data. | 26 May 2017 |

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