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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 | L | | | Risk Score |
| 1. Medium Term Financial Strategy (MTFS) | | | | | | | | | | | | | | | | |
| All | 1.1 | Risk around the MTFS including the ability to deliver savings through Service Redesign/ Transformation as required in the MTFS, impact of the living wage and other demand and cost pressures | <ul style="list-style-type: none"> Reducing government funding Increased demand for the most vulnerable continues to increase: Adult Social Care / CYPs Significant efficiencies/savings already realised and implemented thereby making it increasingly difficult to deliver unidentified savings | <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Negative impact on all services as further service cuts will be required to reduce deficit <p><u>Reputation</u></p> <ul style="list-style-type: none"> Significant impact on reputation exacerbated by the need for quick and potentially crude savings if a more considered approach not adopted <p><u>Financial</u></p> <ul style="list-style-type: none"> Loss of income Restricted funding from other sources | Chief Executive/ All Directors | <ul style="list-style-type: none"> Four year MTFS approved Monitoring processes in place at service, departmental and corporate level Progress with savings monitored and reported to Scrutiny Commission regularly Reporting of Transformation Programme aligned with Corporate Finance reporting Progress on savings from Transformation Programme monitored regularly to resolve early issues | 5 | 5 | 25 | Treat | <ul style="list-style-type: none"> Further work on the Council's low funding position to make the case for increased funding to government Produce C&FS SEN and Looked After Children overspend recovery plans <p><u>Transformation Programme</u></p> <ul style="list-style-type: none"> The Transformation Unit will continue to focus on developing emerging savings initiatives by supporting Departments to develop Business Cases in order to secure savings and other associated benefits TU resources are being focused on | 5 | 5 | 25 | Chief Executive / All Directors During 2017/18 | |

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| | | | | | | <ul style="list-style-type: none"> • Design Authority operational. • Transformation Programme 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 | | | | | | | <p>developing & delivering key projects within C&FS including Dedicated Schools Grant – High Needs Block, Reduced Cost/ Demand Social Care and Early Help Review</p> | | | |
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| CE | 1.3 | <p>If S106 monies for the Council as a whole are not managed properly then there could financial risks as well as legal challenges</p> | <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 | <p>Director of Law & Governance</p> <p>Head of Planning, Historic & Natural Environment</p> | <ul style="list-style-type: none"> Agreed positions established with District Councils Analysed data of s106 contributions since 2010 Infrastructure and Development Oversight Group in place- work programme and timetable in place Approach to projects and pooling established (subject to individual project circumstances). Regular updates to Cabinet on planning decisions that do not reflect the County Council's section 106 requirements. Members notified of requests for section106 contributions that fall within their division. | 4 | 4 | 16 | Treat | <ul style="list-style-type: none"> Improve procedures and practices –new software purchased now being implemented. Project resource hungry which will impact on performance in the short term Lack of staff resources to manage all the workload - monitoring fees at risk from challenge Developer Contributions Policy under active review | 4 | 2 | 8 | <p>Head of Planning, Historic & Natural Environment</p> <p>During 2017/18</p> | |
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| CR | 1.4 | If claims relating to uninsured risks materialise or continue to increase then LCC will need to find increased payments from reserves, impacting on funds available to support services | <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 • A separate 'Uninsured Loss Fund' has been established to meet such losses which is reviewed' | 4 | 4 | 16 | Tolerate | | 4 | 4 | 16 | Head of Internal Audit Service and Insurance Manager Ongoing 2017/18 | |
| C&FS | 1.5 | <u>Social Care</u> If the number of high cost social care placement | <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 • Focussed recruitment has begun (Parallel Carers; | 5 | 5 | 25 | | <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 | 3 | 5 | 15 | | |

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| | <p>s (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> | | | | <p>One2One; Supported Lodgings) and further work to achieve performance targets in these areas underway</p> <ul style="list-style-type: none"> • 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 • Monthly high | | | <p>Treat</p> | <p>Statement and work with local market to understand demand/requirements around placements</p> <ul style="list-style-type: none"> • 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 • Approach to Fostering being looked at by Transformation Unit • Work continues to consider options for going to the market, in particular Independent Fostering Agencies for Level 6 Carers (most complex placements). This work seeks to identify the best ways of providing support/meeting sufficiency duty • Work to look at ways to incentivise fostering | | | <p>Director - Children & Family Services</p> <p>During 2017/18</p> | |
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| | | | | | | 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 | | | | | | | | | |
| | | | | | | <ul style="list-style-type: none"> Cohorts of children being targeted for lower cost measures Service manager oversight of adoption complaints and improvement of QA processes for placements | | | | | | | | | |
| C&FS | 1.6 | <u>Education</u> If the provision of support to high needs pupils (including SEN placements) cannot be | <ul style="list-style-type: none"> Services requesting support for high needs including SEN placements. Insufficient budget | <u>Service Delivery</u> <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 <u>People</u> <ul style="list-style-type: none"> Resources tied up in independent | 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 | 5 | 4 | 20 | | | | | | |
| | | | | | | <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 | 4 | 4 | 16 | | | | Head of Strategy | | |

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| | | reduced, then required savings against this budget will not be achieved | | <p>provision and not wide benefitting Leicestershire children and young people</p> <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 | | <p>increase their capacity to offer provision</p> <ul style="list-style-type: none"> • 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 • Plan in place to achieve necessary savings as set out in the MTFS | | | Treat | <ul style="list-style-type: none"> • Review of STS services (Transformation Unit) • Review of Behaviour Partnerships | | | SEND Reform | During 2017/18 | |
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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 | <u>Service Delivery</u> <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 | 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 : <ul style="list-style-type: none"> 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. <ul style="list-style-type: none"> 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 | 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. Further concerns re financial balance is being addressed through additional bed capacity planning and consideration of funding solutions | 4 | 5 | 20 | Director-Adults & Communities & Assistant Director – Strategy & Commissioning Ongoing |
| | | | | | <u>Financial</u> <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 | | | | | | | | | | | |

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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 | <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"> 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 | <ul style="list-style-type: none"> Decreased income Continual economic climate High unemployment / Reduction in wage | <u>Service Delivery</u> <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 | Director of Adults & Communities / Assistant Director – Strategy & | <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 | 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 | 4 | 4 | 16 | Director of Adults & Communities / Assistant |

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| CR & A& C | 2.4 | <p><u>Help to Live at Home (HLAH)</u></p> <p>If the domiciliary care market 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</p> | <ul style="list-style-type: none"> New Service users will not receive the reablement and domiciliary support that they need Existing service users will not transition smoothly from exiting providers to new providers New service providers will not be able to maintain service levels due to having insufficient staffing Not having relevant information to commission on behalf of health The Council will be unable to commission care for CHC patients because of inadequate | <ul style="list-style-type: none"> Service users would be stuck in hospital beds or would not receive the care and support they need in their own homes. Service users who don't transition would remain with providers where the Council has no contractual agreement. Difficult for the Payments Team to align high number of errors/non-payment due to inaccurate CPLI's Maintenance cases increasing and ability to transfer to independent sector reduced | Director - Adults & Communities Assistant Director – Strategy & Commissioning | <ul style="list-style-type: none"> HTLAH Steering Group continuing to meet during stabilisation and re-procurement phase. Project management support extended. Compliance and Quality Improvement Team continuing to provide additional support and oversight of higher risk providers and ensure contingency arrangements are working effectively in closed or unallocated lots. Weekly sit rep reports from all Providers outlining activity capacity and service failures. | 4 | 5 | 20 | Treat | <ul style="list-style-type: none"> Every provider has a mobilisation plan which is being monitored on a regular basis by Contracts. Ongoing monitoring of likely timescales for lots to be open included as part of intensive work with new providers. Final procurement of unallocated lots is in progress, with an agreed approach to procure remaining unallocated lots. Programme arrangements extended and resources allocated as part of new strategic services structure. Programme Closure plan in development to manage transition to business as usual for all key activities. | 4 | 2 | 8 | <p>Director of Adults & Communities / Assistant Director – Strategy & Commissioning / Assistant Chief Executive</p> <p>During 2017/18</p> |
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| | | | <p>information provided by NHS colleagues</p> <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 | 3.2 | <p>If the Council fails to meet the information security and governance requirements then there may be breach of the statutory obligations</p> | <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 | <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 | <p>Assistant Director – Corporate Services</p> <p>/ Head of Information Management & Technology</p> | <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 reinforce data security | 4 | 4 | 16 | Treat | <ul style="list-style-type: none"> Further work on perimeter security Training on Information Security and Data Protection being actively rolled out. Work progressing to move towards compliance with the new EU General Data Protection Regulation (new data protection act) ICO Audit in September 2017 – implement the ICO Audit Improvement Plan | 4 | 3 | 12 | Head of Information Management & Technology |

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| | | | | | | <ul style="list-style-type: none"> Development and implementation of Intrusion Detection Policy | | | | | | | | | |
| All | 3.3 | <p>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</p> | <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 | <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Service change & commissioning decisions are not underpinned by robust evidence and are therefore sub-optimal <p><u>Reputation</u></p> <ul style="list-style-type: none"> Failure to meet statutory requirements <p><u>Financial</u></p> <ul style="list-style-type: none"> Savings targets are missed or delayed due to lack of quality data to inform decision making <p><u>People</u></p> <ul style="list-style-type: none"> The people of Leicestershire do not get the best services | Assistant Chief Executive/ Head of Business Intelligence | <ul style="list-style-type: none"> 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 | 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. | 5 | 2 | 10 | Head of Business Intelligence During 2017/18 |

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| | | | | | | progress review reporting to DBI Board. | | | | | | | | | | | | |
| All | 3.5 | <p>If the Council fails to maintain robust records management processes to effectively manage information under its custodianship, personal data may not be processed in compliance with the Data Protection Act 1998 resulting in regulatory action and/or reputational damage'</p> | <ul style="list-style-type: none"> Lack of a co-ordinated approach in place to index, review and manage historical case files (paper and electronic) with regard to retention or disposal decisions Retention periods could be exceeded and therefore personal and sensitive data held longer than necessary Retention schedules not developed or compiled | <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 held longer than required <p><u>Reputation</u></p> <ul style="list-style-type: none"> Potential adverse media attention and public lack of confidence Subject access requests may not be compiled with <p><u>Financial</u></p> <ul style="list-style-type: none"> Potential financial penalties Insurance | All Directors | <p>Legal Services' view is that any fines for not retaining data when it should be retained for example in litigation or IICASA, would be greater than if data is kept securely for longer than legally required – but the retention of files (paper and electronic) should not be held for an indefinite period.</p> <p><u>C&FS and Other Depts.</u></p> <ul style="list-style-type: none"> Case files identified as needing to be indexed Offsite storage established for children files Indexing training provided Record Management Guidance updated | 5 | 3 | 15 | Treat | <ul style="list-style-type: none"> Establish project team to evaluate the overall retention position and plan for disposals to begin taking account of all requirements C&FS, IICASA, DPA, Insurance, and ICO. This should include the corresponding electronic information Establish costs involved | 5 | 3 | 15 | Director (Corporate Resources) | | | |

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| | | | with | implications | | | | | | | | | | | | | |
| | | | <ul style="list-style-type: none"> Indexing training not in place or provided | <u>Legal</u> <ul style="list-style-type: none"> Non – compliance with IICSA Inquiry. Destruction of records could lead to a Criminal Offence Non-compliance with ICO and Data Protection Act - Principle 5 | | | | | | | | | | | | | |
| 4. Commissioning & Procurement | | | | | | | | | | | | | | | | | |
| CR | 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 | <u>Service Delivery</u> <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 <u>People</u> <ul style="list-style-type: none"> Additional workload where disputes arise <u>Reputation</u> <ul style="list-style-type: none"> Customer complaints <u>Financial</u> <ul style="list-style-type: none"> VfM/ Efficiencies not achieved Increased costs as | 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 earlies opportunity New governance arrangements in place Contract Management | 5 | 3 | 15 | Treat | <ul style="list-style-type: none"> Implement improved KPIs for all contracts Implement training for all contract managers Complete key supplier cost reduction programme | 4 | 3 | 12 | Head of Commissioning and Procurement Support | During 2017/18 | |

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| | | | skills and competencies | LCC has to pick up the service again <ul style="list-style-type: none"> • Unfunded financial exposure | | Framework available in the Toolkit <ul style="list-style-type: none"> • Recruitment completed for Commissioning Support Unit to strengthen contract management arrangements • LLR and LCC Commissioning Programmes completed | | | | | | | | | |
| 5. Safeguarding | | | | | | | | | | | | | | | |
| CF S | 5.1 | <u>Historic:</u> If as a result of a concerted effort to explore abuse by the Independent Inquiry into Child Sexual Abuse | <u>Historic</u> Concerted effort to explore historic exploitation and abuse in response to the Independent Inquiry and Police Operations | <u>Service Delivery</u> <ul style="list-style-type: none"> • Need to review and redesign current service in the light of lessons learnt <u>Reputation</u> <ul style="list-style-type: none"> • Potential adverse media and political risk <u>Financial</u> <ul style="list-style-type: none"> • Increased cost of | <u>Reputation</u> n_ Chief Executive <u>Reputation</u> n_ & <u>Service Delivery</u> Director - Children & Family | <u>Historic</u> <ul style="list-style-type: none"> • Established Independent Inquiry Strategic Governance Group to oversee planned investigation and information gathering • Pro-active engagement with the Independent Inquiry • Refreshed Communication | 5 | 5 | 25 | | <u>Historic</u> <ul style="list-style-type: none"> • Establish close working relationships with other authorities • Further revision of Comms Strategy • Review of current internal governance arrangements • Continue to work closely with the IICSA | 4 | 5 | 20 | <u>Reputation</u> n_ Chief Executive <u>Reputation</u> n_ & <u>Service Delivery</u> Director - Children & Family |

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| | <p>(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> If as a result of a concerted effort by the IICSA and Police Operations there is a significant increase in identified cases, then the</p> | <p><u>Current</u> Concerted effort in response to the Independent Inquiry and Police Operations result in the significant increase in identified cases</p> | <p>settling claims and service redesign</p> <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Increase in the volume of work beyond the capacity of the planned service <p><u>People (Public)</u></p> <ul style="list-style-type: none"> The Council fails to support victims and those at risk <p><u>Reputation</u></p> <ul style="list-style-type: none"> Loss of public confidence in the Council and political instability <p><u>Financial</u></p> <ul style="list-style-type: none"> Increased cost of settlement and service delivery | <p>Services</p> <p><u>Legal</u> Director of Law & Governance</p> <p><u>Financial</u> Director - Corporate Resources</p> | <p>Strategy and Implementation Plan</p> <ul style="list-style-type: none"> Appointed Legal Support and Counsel Member briefings held (x2) Partnership governance is in place CSE Executive Role and Terms of Reference revised and agreed <p><u>Current</u></p> <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 | | | <p>Treat</p> <p>team</p> <ul style="list-style-type: none"> 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 <p><u>Current</u></p> <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 | | | <p>Services</p> <p><u>Legal</u> Director of Law & Governance</p> <p><u>Financial</u> Director - Corporate Resources</p> <p>Ongoing</p> | |
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| | | Council does not have the capacity to meet the demand on the CSE resources | | | | <ul style="list-style-type: none"> 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 | | | | | | | | | |
| 6. Brexit | | | | | | | | | | | | | | | |
| All | 6.1 | Uncertainty and significant knock on consequences on public services (including potential legal, regulatory, economic and social | Uncertainty and impact on local government | <u>Service Delivery</u> <ul style="list-style-type: none"> Uncertainty around ESIF 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 | | <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 | | <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 | 4 | 4 | 16 | |

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| | | implications), and the local economy as a result of the United Kingdom leaving the European Union | | <p>uncertainty during the negotiation period.</p> <ul style="list-style-type: none"> Impact on staffing in commissioning contracts involving high numbers of non UK citizenship e.g. home care and cleaning. <p><u>Legal</u></p> <ul style="list-style-type: none"> Changes in UK/EU legislation e.g. procurement, employment <p><u>Financial</u></p> <ul style="list-style-type: none"> Uncertainty around EU funding, inward investment Further austerity measures and demand pressures <p><u>People</u></p> <p>Impact on incumbent workforce who have non UK citizenship e.g. agency workers</p> | CE/Directors | | | | | | | | | | | Treat | <p>assessment on the assumptions used to generate the medium term financial plan</p> <ul style="list-style-type: none"> Access a diverse range of external funding opportunities Develop policy driven by local need Reflect Brexit impact in revised Enabling Growth Plan Gather intelligence and model future scenarios relating to Brexit impacts to inform future policy. 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 | | | | | | Ongoing | |
| 7. People | | | | | | | | | | | | | | | | | | | | | | | | |
| CR/ (All) | 7.1 | If sickness absence is not effectively | <ul style="list-style-type: none"> Policy and Procedures are not in place Lack of | <p><u>Service delivery</u></p> <ul style="list-style-type: none"> Increased pressure on services to provide | Director of Corporate Resources | <ul style="list-style-type: none"> Revised Policy in place. HR advice being provided to Managers. | 4 | 4 | 16 | | | | | | | <ul style="list-style-type: none"> Staff COMMS campaign to set expectations. Targeted work with managers and | 3 | 4 | 12 | Assistant Director, Corporate | | | | |

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| | | managed then staff costs, service delivery and staff wellbeing will be impacted | <ul style="list-style-type: none"> training for managers Monitoring and reporting systems are inadequate or not in place Support mechanisms not in place | <p>same/more with less</p> <ul style="list-style-type: none"> Increased requirement for temporary/casual staff. <p><u>People</u></p> <ul style="list-style-type: none"> Negative impact on staff if they perceive absences are not managed properly Loss of productivity <p><u>Reputation</u></p> <ul style="list-style-type: none"> Avoidable costs to LCC in difficult times <p><u>Financial</u></p> <ul style="list-style-type: none"> Increased staff costs | | <ul style="list-style-type: none"> Training for Managers in place. Comprehensive monitoring and reporting (Manager; Depts, DMT; CMT) to identify issues/solutions. Support from Mental Health First Aiders being utilised. | | | | | | | | | Treat | <p>services (Intensive Support Project).</p> <ul style="list-style-type: none"> Develop, agree and implement Increment Policy. Implementation of absence management triage project - impact reporting at 3; 6 & 12 mths before full roll out. | | | | | | | Services (Corporate Resources) | During 2017/18 |
| C&FS | 7.2 | If C&FS is unable to recruit and retain skilled staff promptly (social workers and team managers) then some services will be over-reliant on the use of | <ul style="list-style-type: none"> No Recruitment or Retention Strategy | <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Children and young people potentially left at risk of harm <p><u>People</u></p> <ul style="list-style-type: none"> Additional training in Signs of Safety for agency workers Additional time required for permanent staff to support agency staff Recruitment and retention of staff <p><u>Reputational</u></p> | Director of Children & Family Services | <ul style="list-style-type: none"> Monthly reporting on agency staff and associated costs Working with Corporate communications on a new Social Worker recruitment campaign Monthly reporting on caseloads and supervision policy Completed a growth bid and | 5 | 5 | 25 | | | | | | Treat | <ul style="list-style-type: none"> Development of a recruitment and retention strategy Continue actively recruiting to permanent posts Continue supporting Social Workers, e.g. Newly Qualified Social Workers, through recruitment and retention strategy | 5 | 3 | 15 | | | Assistant Director-Children's Social Care | During 2017/18 | |

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| | | agency staff resulting in budget overspends and poor service delivery | | <ul style="list-style-type: none"> The Local Authority is not seen to support staff through impact on recruitment and retention <p><u>Financial</u></p> <ul style="list-style-type: none"> Additional budget costs leading to overspend Required savings targets not met | | identified establishment for additional staff | | | | | | | | | |
| 8. Business Continuity | | | | | | | | | | | | | | | |
| CR | 8.1 | If suppliers of critical services (e.g. HTLAH) do not have robust business continuity (BC) plans in place then the Council maybe | No BC framework in place i.e. definition of a critical supplier or identification of critical services. Guidance or communication not in place No monitoring of supplier or business continuity compliance for critical services | <p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Delays in services may place vulnerable people at risk Re-work /re-planning due to clash of priorities <p><u>People</u></p> <ul style="list-style-type: none"> Council unable to support people in receipt of service to adverse outcomes for individuals <p><u>Reputation</u></p> <ul style="list-style-type: none"> Damage from | Director of Corporate Resources | <ul style="list-style-type: none"> Contract Management and compliance monitoring in place. Improved Frameworks for commissioning services detailing BC requirements. | 5 | 4 | 20 | Treat | <ul style="list-style-type: none"> Programme of work with Suppliers to develop BC plans. Working with Social Care to develop Provider Failure Plans. Improvements being made to contract specifications to ensure BC plans in place for all key contracts. | 5 | 3 | 15 | <p>Head of Commissioning & Procurement Support</p> <p>During 2017/18</p> |

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| | | unable to deliver services | | negative publicity and loss of trust with the public | | | | | | | | | | | |
| 9. Health & Safety | | | | | | | | | | | | | | | |
| E&T | 9.1 | If the Service is unable to recruit appropriate skills / resources to implement Audit recommendations to undertake SEN Transport Risk Assessments then service users' safety is at risk as well as financial and reputation consequences. | <ul style="list-style-type: none"> Lack of resources to deal with assessments | <ul style="list-style-type: none"> Potential for serious physical harm Reputational damage Improvement / Prohibition Notice Not in accordance with ISO18000 system Fines / financial penalties Breach of legislation Impact on highway delivery service | Director of Environment and Transport | <ul style="list-style-type: none"> Better quality system for new Risk Assessments in place Improved processes and documentation Prioritising assessments for those with complex medical needs | 5 | 3 | 15 | Treat | <ul style="list-style-type: none"> Develop and commence implementation of programme of assessing backlog and future RA reviews | 5 | 2 | 10 | Assistant Director Highways & Transport During 2017/18 |

| 10. Highways Network – Winter Maintenance | | | | | | | | | | | | | | | |
|---|------|--|--|---|---------------------------------------|--|---|---|----|-------|---|---|---|---|---|
| E&T | 10.1 | The absence of a depot in the North East of the County may impact on the delivery and the cost of the Winter Maintenance programme for 2019/20 | <ul style="list-style-type: none"> Tight timescales Sourcing site and undertaking any improvements | <ul style="list-style-type: none"> Unable to meet planned programmes of work Risk of liability for duty of care under the Highways Act Adverse publicity and reputational damage | Director of Environment and Transport | <ul style="list-style-type: none"> Property Business Partner sourcing a replacement depot / facility. | 4 | 4 | 16 | Treat | <ul style="list-style-type: none"> Feasibility study of proposed site at Melton Commercial Park being undertaken by Structures team. | 4 | 1 | 4 | Assistant Director Highways & Transport During 2017/18 |

Department

- A&C = Adults & Communities
- CE = Chief Executives
- CR = Corporate Resources

- E&T = Environment and Transport
- PH = Public Health
- All = Consolidated risk

C&FS =

Risk Removed from the Corporate Risk Register

| Dept. | CRR Risk No | Risk Description | Current Risk Score | Reason | Date of Removal |
|-------|-------------|--|--------------------|--|-------------------|
| C&FS | 1.2 | Local Authority legal requirements to meet deficit budgets from maintained schools becoming sponsored academy, and pressure from Sponsors to meet repair costs. | 16 | Agreed by Corporate Governance Committee | 17 November 2015 |
| E&T | 5.2 | LLEP-insufficient funding for transport schemes to deliver economic growth and LTP3 /Strategic Plan. Risk regarding match funding requirement for the Council | 20 | The risk has been downgraded from red to amber as the likelihood has reduced from 4 to 2 following the confirmation of future local growth funding in the Autumn 2015 Statement (further details to follow in the new year). As the risk score has been revised from 20 to10, this risk has been removed from the Corporate Risk Register but it will continue to be monitored through the Environment & Transportation Departmental Risk Register. | 19 February 2016 |
| E & T | 4,1 | Impact of an increase in unplanned and speculative local developments to address the shortfall in the five year housing supply which could have an adverse impact on the functioning of the transport network. | 15 | The risk has been downgraded from red to amber as the likelihood has been reduced from 5 to 4 as a result of Districts having moved through the consultation phases and firmer programmes are now in place for publishing Core Strategies. LCC is also starting discussions with Districts on possible cumulative impact studies. As the risk score has been revised from 15 to 12, this risk has been removed from the Corporate Risk Register but it will continue to be monitored through the Environment & Transportation Departmental Risk Register. | 13 May 2016 |
| 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 |
| C&FS | 1.7 | If suitable placements are unavailable for unaccompanied asylum seeking children (UASC) who arrive in the County, either planned or unplanned, | 20 | The UASC team is now established and the numbers of UASC are not as high as initially forecast. The current risk score as been reduced from 20 to 12. The risk will continue to be monitored as part of the Children & Families Services Departmental Risk Register | 22 September 2017 |

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| | | <p>as a result of :</p> <ul style="list-style-type: none"> • 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 the Dubs amendment; • continuing response to spontaneous cases of UASC arriving in the County <p>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> | | | |
| 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 | 15 | The further mitigating actions have been completed and the current risk score as been reduced from 15 to 12. The risk will continue to be monitored as part of the Corporate Resources Departmental Service Risk Register. | 22 September 2017 |
| CR | 3.4 | If there is insufficient capacity to provide information technology solutions then service improvements and savings will not be achieved. | 16 | The current risk score has been reduced from 16 to 12 as a result of ongoing implementation of the New Target Operating Model and improved resource planning processes. The risk will continue to be monitored as part of the Corporate Resources Departmental Register | 22 September 2017 |