

Dept.	Risk #	Risk	Causes (s)	Consequences (s)	Risk Owner	List of current controls	Current Risk Score			Risk Response; Tolerance Treat Terminate Transfer	Further Actions / Additional Controls	Residual Risk			Action Owner / (Date)	Action Complete (Yes or No)	
							I	L	Risk Score			I	L	Risk Score			
1. Medium Term Financial Strategy (MTFS)																	
All	1.1	Risk around the MTFS including the ability to deliver savings through Service Redesign/ Transformation as required in the MTFS, impact of the living wage and other demand and cost pressures	<ul style="list-style-type: none"> Reducing government funding Increased demand for the most vulnerable continues to increase: Adult Social Care / CYPS Significant efficiencies/savings already realised and implemented thereby making it increasingly difficult to deliver unidentified savings 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Negative impact on all services as further service cuts will be required to reduce deficit <p><u>Reputation</u></p> <ul style="list-style-type: none"> Significant impact on reputation exacerbated by the need for quick and potentially crude savings if a more considered approach not adopted <p><u>Financial</u></p> <ul style="list-style-type: none"> Loss of income Restricted funding from other sources 	Chief Executive/ All Directors	<ul style="list-style-type: none"> Four year MTFS approved Monitoring processes in place at service, departmental and corporate level Progress with savings monitored and reported to Scrutiny Commission regularly Reporting of Transformation Programme aligned with Corporate Finance reporting Progress on savings from Transformation Programme monitored regularly to resolve early issues 	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"> Development of business case for Early Help Review including Children's Centres TU resources are being focused on developing & delivering key projects within C&FS including Dedicated Schools Grant – High Needs Block, Reduced Cost/ Demand Social Care and Early Help 	5	5	25	Chief Executive / All Directors	During 2017/18	

						<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 • Deliverability assessments on all Business Cases and newly identified opportunities for savings now routinely completed. • TU providing support to Departments to develop Business cases to secure savings and other associated benefits 				Review				
CE	1.3	If S106 monies for the Council as a	<ul style="list-style-type: none"> • Due to the pooling limitations imposed by the 	<u>Financial</u> <ul style="list-style-type: none"> • Failure to secure funds putting LCC at financial risk <u>Reputation</u>	Director of Law & Governance	<ul style="list-style-type: none"> • Agreed positions established with District Councils • Analysed data of s106 	4	4	16	<ul style="list-style-type: none"> • Improve procedures and practices –new software purchased now being implemented. 	4	2	8	Head of Planning,

		whole are not managed properly then there could financial risks as well as legal challenges	Community Infrastructure Levy Regulations 2010 (as amended) on the use of s106 planning obligations.	<ul style="list-style-type: none"> Possible need for challenge / defend challenge in high court 	Head of Planning, Historic & Natural Environment	<p>contributions since 2010</p> <ul style="list-style-type: none"> 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. 								Treat	<ul style="list-style-type: none"> Lack of staff resources to manage all the workload - monitoring fees at risk from challenge Developer Contributions Policy under active review 					Historic & Natural Environment	During 2017/18
CR	1.4	If claims relating to uninsured risks materialise or continue to	<ul style="list-style-type: none"> Estimates from MMI continue to report a liability Potential to increase MMI 	<p><u>Financial</u></p> <ul style="list-style-type: none"> Amounts involved are large and LCC is currently the MMI's largest creditor 	Director of Finance (Corporate Resources)	<ul style="list-style-type: none"> Detailed review of MMI claims undertaken before payments made Process for defending claims 	4	4	16			4	4	16						Head of Internal Audit	

		increase then LCC will need to find increased payments from reserves, impacting on funds available to support services	levy as a result of recent foster care judgement and could impact the SOA. <ul style="list-style-type: none"> The judgement has an unknown impact Any claims arising from the time Independent were insurers would need to be self-funded. 	<u>Service Delivery</u> <ul style="list-style-type: none"> Reduced funds available to support services 		in place <ul style="list-style-type: none"> Ongoing partnership work with MMI to improve claims handling to reduce and manage losses A separate 'Uninsured Loss Fund' is established to meet such losses which is reviewed 									Tolerance								Service and Insurance Manager	Ongoing 2017/18
C&FS	1.5	<u>Social Care</u> If the number of high cost social care placements (e.g. external fostering,	<ul style="list-style-type: none"> High cost placements increasing especially in relation to behaviour & CSE issues 	<u>Financial</u> <ul style="list-style-type: none"> 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 	5	5	25															

		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.				<ul style="list-style-type: none"> • Focussed 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 			Treat	<ul style="list-style-type: none"> • foster carers Approach to Fostering being looked at by Transformation unit through consideration of use of market for contracted residential beds 			Director - Children & Family Services	During 2017/18	
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						<p>allowing closer scrutiny of processes</p> <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 • Service manager oversight of adoption complaints and improvement of QA processes for placements 								
C&FS	1.6	<p><u>Education</u></p> <p>If the provision of support to high needs pupils (including</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 	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 	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 	4	4	16	

	(i)	<p>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.</p>	<p>partnership working across LLR</p>	<p>programme fails leading to reputational risks, partnership breakdown and financial instability within the health and care economy</p> <ul style="list-style-type: none"> • 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 	<p>es</p>	<p>change, they include the development of :</p> <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. 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 		<p>Treat</p>	<p>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> <ul style="list-style-type: none"> • 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 • Consideration is being given to the development of an Accountable care organisation (fully integrated Health & 			<p>Director- Adults & Communities & Assistant Director – Strategy & Commissioning</p> <p>Ongoing</p>	
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				<p>for delivering the programme.</p> <ul style="list-style-type: none"> • A notional figure of £5m impact on ASC has been highlighted within the Strategic Outline Case. <p><u>People</u></p> <ul style="list-style-type: none"> • Partners are unable to provide sufficient staffing resource to 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"> • membership from the five NHS partner organisations and the three upper tier local authorities. • Refreshed finance and capacity modelling is being undertaken as part of the development of the sustainability and transformation plan. • Review of STP undertaken during summer of 2017 			<p>Social Care) to increase integration across partners, reduce duplication and enhance decision making</p>	
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A & C	2.2 (ii)	If we fail to effectively demonstrate the impact of 'left shift' initiatives on social care, then this will lead to increased demand.	<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. 	<p>Director-Adults & Communities & Assistant Director – Strategy & Commissioning</p>	<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 	3	4	12	Treat	<ul style="list-style-type: none"> Demand modelling to incorporate an understanding of interrelationship 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 workstreams 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 	3	3	9	<p>Director-Adults & Communities & Assistant Director – Strategy & Commissioning</p> <p>Ongoing</p>				

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 	<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 	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. <p>To be revised 12/17</p>	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 	4	4	16	Director of Adults & Communities / Assistant Director – Strategy & Commissioning / Assistant Chief Executive	During 2017/18										

		<p>for advice services</p> <ul style="list-style-type: none"> No central funding for Local Welfare Provision post April 2015 PIP migration for new and existing service users including appointee and deputyship in receipt of DLA who were under 65 on 8 April 2013 commences 13/7/15 <p>To be revised 12/17</p>	<ul style="list-style-type: none"> Potential inspection Public confused as to which Agency has responsibility <p><u>Financial</u></p> <ul style="list-style-type: none"> A&C debt increases Demand led budgets under more pressure Risk of litigation / judicial review Increased risk due to the migration from Disability Living Allowance to Personal independence Payments locally effective from 13 July 2015 over the following 2 years. The longer term risk has also now increased in relation to the Governments roll-out timetable that most existing benefit claimants will be moved over to Universal Credit during 2016 and 2017. However, it has now been acknowledged that at least 700,000 claimants will not 				<p>proposed new charging & assessment regulations to correspond with introduction of Universal Credit.</p> <ul style="list-style-type: none"> Received roll out dates for UC for each district. From Nov 16 to March 18 for all new claimants. Existing claimants to follow. Training has commenced and a bid has been submitted for laptops to enable remote finance assessments so that the Benefits team can respond to Universal Credit cases more efficiently. <p>To be revised 12/17</p>			
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				<p>be on Universal Credit by the end of 2017.</p> <ul style="list-style-type: none"> 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 <p>To be revised 12/17</p>											
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</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 	<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 	<p>Director - Adults & Communities</p> <p>Assistant Director – Strategy & Commissioning</p>	<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 	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. Third procurement of unallocated lots is in progress. Programme arrangements extended and resources allocated 	4	2	8	<p>Director of Adults & Communities / Assistant Director – Strategy & Commissioning / Assistant Chief Executive</p> <p>During</p>

		high quality services to local residents within the county, people may not receive services to meet their needs	maintain service levels due to having insufficient staffing <ul style="list-style-type: none">• Not having relevant information to commission on behalf of health• The Council will be unable to commission care for CHC patients because of inadequate information provided by NHS colleagues• HART capacity to refocus on hospital discharge step-down compromised due to migration issues.	• Maintenance cases increasing and ability to transfer to independent sector reduced		arrangements are working effectively in closed or unallocated lots. Weekly sit rep reports from all Providers outlining activity capacity and service failures.					as part of new strategic services structure. Programme Closure plan in development to manage transition to business as usual for all key activities.			2017/18	
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CE	2.5	If Health and Care partners fail to deliver the local integration programme in accordance with national BCF policy, within the financial envelope of the BCF pooled budget and by meeting national metrics, then elements of BCF funds could be withheld	<ul style="list-style-type: none"> Poor governance structures Performance against metrics is not monitored regularly or reported to relevant Board Lack of engagement with partners Non-alignment of local integration programme to National BCF Policy Lack of resources 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Failure to meet health & social care integration objectives, national conditions and metrics, which are a key priority for LCC, CCGs, NHS providers and NHS England Increased dependency on other health & care services directly impacting LCC budgetary pressures. Failure to accommodate the shift of care from acute to community care outlined in STP plan for LLR. <p><u>People</u></p> <ul style="list-style-type: none"> Limited investment in early intervention or prevention due to less planning 'around the individual' leading to higher costs of care within the system. Lack of a sufficient 	Director of Health & Social Care Integration	<ul style="list-style-type: none"> Well established multi-agency governance structure since 2014. Monthly reporting, including rigorous performance reporting, on overall progress into governance structure at operational and strategic level. Consolidation of reporting into STP PMO for LLR-wide assurance. Section 75 agreement refreshed at least annually and reviewed on a quarterly basis by the IFPG. Quarterly reporting via NHS England on national template for BCF assurance. Detailed programme plan - reviewed monthly. Proactive comms 	4	4	16	Treat	<ul style="list-style-type: none"> Proposals are developed by BCF partners and reviewed through the Integration Executive governance process. Proposals for how the IBCF allocation should be prioritised were co-produced with partners during Q1 2017/18, and there was proactive engagement of all partners via BCF refresh work plan. Monitor performance against national BCF outcome metrics. Programme Boards in place for major BCF and STP developments. Planned approach for 2017/18 DFG allocations prepared and shared with Districts Councils. Agreement reached. Work on Integrated Locality Teams being developed in line with the LLR 	3	3	9	Director of Health & Social Care Integration	During 2017/18
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				<p>workforce plan across health & social care integration will impact on both the delivery of schemes within the plan & the patient experience.</p> <p><u>Reputation</u></p> <ul style="list-style-type: none"> Loss of trust in partnership working, lack of public confidence in integrated care solutions, commissioners viewed as uncoordinated/fragmented/wasting public resources. Impact on joint working between District and County Council are not well managed in the BCF. <p><u>Financial</u></p> <ul style="list-style-type: none"> If the plan does not deliver against metrics, some of the funding could be withheld. From 2017/18 this includes a new risk that areas who perform 		<p>plan in place with dedicated microsite for Health and Care Integration.</p> <ul style="list-style-type: none"> Wide ranging engagement plan undertaken for the BCF plan across all partners. 			<p>STP.</p> <ul style="list-style-type: none"> Undertaken a review of the reserve and contingencies within the BCF pooled budget. BCF refresh plan submitted to NHSE on 8th September in line with the national timelines (currently in regional/national assurance stage). DTOC trajectory reviewed in light of NHSE insistence on November milestone. DTOC trajectory resubmitted on 12 October. Intensive work plan on DTOC improvement in place across LLR to address remaining risks, mainly NHS attributable delays, and mainly at non-acute sites. While the trajectory has been resubmitted there is a clear risk on non-achievement for the November Milestone (reported in January). 			
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				<p>poorly in delayed transfers of care could be subject to additional inspections and loss of IBCF/BCF funding.</p> <ul style="list-style-type: none"> A proportion of BCF (£22m of £52m) is allocated to the protection of social care expenditure so loss of income into the fund could impact on this allocation. A proportion of the BCF pooled budget is allocated to Disabled Facilities Grants, which are administered by District Councils. Changes to DFG allocations that took place in 2016/17 have placed financial pressure on the BCF plan pooled budget. Further increases in allocations for DFGs between 2017/18-2020/21 and the handling of these nationally 					<ul style="list-style-type: none"> As part of the BCF refresh, schemes have been aligned with the STP. Deliverability assessments undertaken for adult social care grant (IBCF) - in order to ensure specific schemes/milestone s/expenditure profiles are in place or timelines for major business cases are known. Integration programme work plan for 2017/18 has been developed and is being implemented. Full detailed review of BCF risk register as part of BCF refresh. The Unified Prevention Board has developed an outcomes framework and strategy in support of the development of integrated locality teams and the LLR STP Prevention work stream. Gateway review for IPOA undertaken 			
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				and locally will have implications for future BCF plans/pooled budgets and the implementation of the new local Lightbulb housing offer, which is due to be introduced during 2017/18.											September 2017 to determine if progression to phase 2 is feasible for partners. Business case in progress.						

3. ICT, Information Security

CR	3.2	If the Council fails to meet the information security and	<ul style="list-style-type: none"> Increased information sharing and direct access to systems across partnerships 	<u>Service Delivery</u> <ul style="list-style-type: none"> Diminished public trust in ability of Council to provide services Failure to comply with Public Service 	Assistant Director – Corporate Services / Head of Informatio	<ul style="list-style-type: none"> New, simplified Information Security and Acceptable Use Policy in place PSN compliance achieved 	4	4		16					<ul style="list-style-type: none"> Further work on perimeter security Training on Information Security and Data Protection being actively rolled 	4	3		12	Head of Information Managem
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		<p>governance requirements then there may be breach of the statutory obligations</p>	<ul style="list-style-type: none"> • Increased demand for flexible working increases vulnerability of personal, sensitive data taken offsite. • More hosted technology services • Greater emphasis on publication of data and transparency • Greater awareness of information rights by service users • Increased demand to open up access to personal sensitive data and information to support integration of services and development of business intelligence. 	<p>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> <p><u>People</u></p> <ul style="list-style-type: none"> • Loss of confidential information compromising service user safety <p><u>Reputation</u></p> <ul style="list-style-type: none"> • Damage to LCC reputation <p><u>Financial</u></p> <ul style="list-style-type: none"> • Financial penalties 	<p>Management & Technology</p>	<ul style="list-style-type: none"> • 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 practices • Mobile device management process in place • New security governance arrangements in place • Increased communication and guidance on cyber security issues • E-learning for all staff in place-made mandatory for all staff. All staff enrolled first of February 2017 • Induction process includes requirements around information security 			<p>Treat</p> <p>out.</p> <ul style="list-style-type: none"> • 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 			<p>ent & Technology</p> <p>During 2017/18</p>	
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						<ul style="list-style-type: none"> • 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 • COMMS Plan in place to raise awareness with staff 									
All	3.3	If there is a failure to provide business intelligence required to support transformation, inform commissioning, inform strategic	<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 	<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>	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 	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. 	5	2	10	Head of Business Intelligence During 2017/18

		<p>planning and to complete statutory returns then policy will not be evidence based</p>	<p>and finance support for projects</p> <ul style="list-style-type: none"> Inadequate data quality and data sharing Demand influenced by unmanageable external environment Range of cultural, Information Management, technology and skills issues 	<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 																		
All	3.5	<p>If the Council fails to maintain robust records management processes to effectively manage information under its</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 	<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 	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</p>	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 	5	3	15	Director (Corporate Resources) and Director of Law and Governance							

		<p>custodian ship, personal data may not be processed in compliance with the Data Protection Act 1998 resulting in regulatory action and/or reputational damage'</p>	<p>decisions</p> <ul style="list-style-type: none"> Retention periods could be exceeded and therefore personal and sensitive data held longer than necessary Retention schedules not developed or compiled with Indexing training not in place or provided 	<p>and public lack of confidence</p> <ul style="list-style-type: none"> Subject access requests may not be compiled with <p><u>Financial</u></p> <ul style="list-style-type: none"> Potential financial penalties Insurance implications <p><u>Legal</u></p> <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 		<p>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 				<p>information</p> <ul style="list-style-type: none"> Establish costs involved 					
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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"> 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	
5. Safeguarding																

<p>CF S</p>	<p>5.1</p>	<p><u>Historic:</u> 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 historical issues of child sexual exploitation (CSE) or abuse is identified.</p> <p><u>Current:</u> If as a result of a</p>	<p><u>Historical</u> Concerted effort to explore historical exploitation and abuse in response to the Independent Inquiry and Police Operations</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><u>Service Delivery</u></p> <ul style="list-style-type: none"> Need to review and redesign current service in the light of lessons learnt <p><u>Reputation</u></p> <ul style="list-style-type: none"> Potential adverse media and political risk <p><u>Financial</u></p> <ul style="list-style-type: none"> Increased cost of settling claims and service redesign <p><u>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 	<p><u>Reputation</u> Chief Executive</p> <p><u>Reputation</u> & <u>Service Delivery</u> Director - Children & Family Services</p> <p><u>Legal</u> Director of Law & Governance</p> <p><u>Financial</u> Director - Corporate Resources</p>	<p><u>Historical</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 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 <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- 	<p>5</p>	<p>5</p>	<p>25</p>	<p>Treat</p>	<p><u>Historical</u></p> <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 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 <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 	<p>4</p>	<p>5</p>	<p>20</p>	<p><u>Reputation</u> Chief Executive</p> <p><u>Reputation</u> & <u>Service Delivery</u> Director - Children & Family Services</p> <p><u>Legal</u> Director of Law & Governance</p> <p><u>Financial</u> Director - Corporate Resources</p> <p>Ongoing</p>	<p>108</p>
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	services (including potential legal, regulatory, economic and social implications), and the local economy as a result of the United Kingdom leaving the European Union		<p>government policy following the formation of a new government. Lack of steer for local policy making.</p> <ul style="list-style-type: none"> Impact on the Economy due to uncertainty during the negotiation period. Impact on staffing in commissioning contracts involving high numbers of non UK citizenship e.g. home care and cleaning. <p><u>Legal</u></p> <ul style="list-style-type: none"> Changes in UK/EU legislation e.g. procurement, employment <p><u>Financial</u></p> <ul style="list-style-type: none"> Uncertainty around EU funding, inward investment Further austerity measures and demand pressures <p><u>People</u></p> <p>Impact on incumbent workforce who have non UK citizenship e.g. agency workers</p>	CE/Directors	<p>significant policies relevant to the management of these risks (e.g. investment policy) to ensure they are fit for purpose in the new environment;</p> <ul style="list-style-type: none"> Assessment of impact of the risk assessment on the assumptions used to generate the medium term financial plan Access a diverse range of external funding opportunities Reflection of Brexit impact in revised Enabling Growth Plan Gathering intelligence and modelling future scenarios relating to Brexit impacts to inform future policy. The LLEP's Business Board has agreed to monitor Brexit impacts (both negative and 			Treat	<p>situation.</p> <ul style="list-style-type: none"> Leicester and Leicestershire Business survey is being commissioned to review business confidence, investment plans and barriers to growth. 			Ongoing	
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						positive) on the economy and the Economic Growth Team will undertake this work for the LEP									
7. People															
CR	7.1	If sickness absence is not effectively managed then staff costs, service delivery and staff wellbeing will be impacted	<ul style="list-style-type: none"> Policy and Procedures are not in place Lack of training for managers Monitoring and reporting systems are inadequate or not in place Support mechanisms not in place 	<p><u>Service delivery</u></p> <ul style="list-style-type: none"> Increased pressure on services to provide same/more with less 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 	Director of Corporate Resources	<ul style="list-style-type: none"> Revised Policy in place. HR advice being provided to Managers. 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. 	4	4	16	Treat	<ul style="list-style-type: none"> Staff COMMS campaign to set expectations. Targeted work with managers and services (Intensive Support Project). Develop, agree and implement Increment Policy. Implementation of absence management triage project - impact reporting at 3; 6 & 12 mths before full roll out. 	4	3	12	Assistant Director, Corporate Services (Corporate Resources) During 2017/18



C&FS	7.2	If C&FS are unable to recruit and retain skilled staff promptly (social workers and team managers) then some services will be over-reliant on the use of agency staff resulting in budget overspend and poor service delivery	<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> <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 	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 identified establishment for additional staff 	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			

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 may be unable to deliver services	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 Contract specifications are not clear as to BC arrangements	<u>Service Delivery</u> <ul style="list-style-type: none"> Delays in services may place vulnerable people at risk Re-work /re-planning due to clash of priorities <u>People</u> <ul style="list-style-type: none"> Council unable to support people in receipt of service to adverse outcomes for individuals <u>Reputation</u> <ul style="list-style-type: none"> Damage from negative publicity and loss of trust with the public <u>Financial</u> <ul style="list-style-type: none"> Supplier BC failure results in additional costs to source alternative providers 	Assistant Chief Executive Chief Executive's Department	<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. Improving communications between Procurement & Commissioning and the Resilience Team regarding notification of new contracts. 	5	3	15	Resilience & Business Continuity Manager During 2017/18
9. Health & Safety															
E&T	9.1	If the Service is unable to recruit appropriate skills / resources to implement	<ul style="list-style-type: none"> Lack of resources to deal with assessments 	<ul style="list-style-type: none"> Potential for serious physical harm, injury or death Reputational damage Improvement / Prohibition Notice Not in accordance 	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 	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 &

		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"> with ISO18000 system Fines / financial penalties and potential litigation Breach of legislation Impact on highway delivery service 		<ul style="list-style-type: none"> assessments for those with complex medical needs A new training coordinator was appointed in summer 2017 to deliver additional training to providers as identified by risk assessments 									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	<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"> A further feasibility study is underway at Sysonby Farm. As an alternative option to Sysonby Farm, an opportunity of using the Melton Borough Council depot is being investigated. 	4	1	4	Assistant Director	Highways & Transport	During 2017/18

		programme for 2019/2020													
11. Environment															
E&T	11.1	If the Authority fails to respond and manage Ash dieback (Chalara) at a local level, then it could be exposed to financial, reputational, and environmental consequences	<ul style="list-style-type: none"> Lack of preparation to deal with the impact of Chalara i.e. Awareness, Planning, Action and Recovery 	<ul style="list-style-type: none"> Potential for serious physical harm/damage to property Potential for insurance claims against council Ecological/landscape impacts Reputational damage Financial – additional resources to undertake tree inspections, replanting strategy, availability of qualified tree surgeon to undertake work 	Director of Environment and Transport	<ul style="list-style-type: none"> Cross departmental project team set up to devise approach to council's response to Ash Dieback Assessment of current extent and progress of disease in Leicestershire 	5	3	15	Treat	<ul style="list-style-type: none"> Cross Departmental project team to develop an approach and Strategy including associated costs for implementation Work with the Tree Council to pilot a local action plan for ash dieback Identification and involvement of external partners and communication with Members Undertake inspections twice a year to determine extent and progress of the disease. 	5	2	10	Assistant Director Highways & Transport During 2017/18

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 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	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	26 May 2017

		then partner contributions to the pooled budget may not continue.		been undertaken on outcomes data.	
C&FS	1.7	<p>If suitable placements are unavailable for unaccompanied asylum seeking children (UASC) who arrive in the County, either planned or unplanned, 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>	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
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

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