

Dept.	Risk #	Risk	Causes (s)	Consequences (s)	Risk Owner	List of current controls	Current Risk Score			Risk Response; Tolerate Treat Terminate Transfer	Further Actions / Additional Controls	Residual Risk			Action Owner / (Date)	Action Complete (Yes or No)	
							I	L	Risk Score			I	L	Risk Score			
1. Medium Term Financial Strategy (MTFS)																	
All	1.1	Risk around the MTFS including the ability to deliver savings through Service Redesign/ Transformation as required in the MTFS, impact of the living wage and other demand and cost pressures	<ul style="list-style-type: none"> Reducing government funding Increased demand for the most vulnerable continues to increase: Adult Social Care / CYPS Significant efficiencies/savings already realised and implemented thereby making it increasingly difficult to deliver unidentified savings 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Negative impact on all services as further service cuts will be required to reduce deficit <p><u>Reputation</u></p> <ul style="list-style-type: none"> Significant impact on reputation exacerbated by the need for quick and potentially crude savings if a more considered approach not adopted <p><u>Financial</u></p> <ul style="list-style-type: none"> Loss of income Restricted funding from other sources 	Chief Executive/ All Directors	<ul style="list-style-type: none"> Four year MTFS approved Monitoring processes in place at service, departmental and corporate level Progress with savings monitored and reported to Scrutiny Commission regularly Reporting of Transformation Programme aligned with Corporate Finance reporting Progress on savings from Transformation Programme monitored regularly to 	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. Star Chambers to be arranged <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 	5	5	25	Chief Executive / All Directors	During 2018/19	

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 MASTERGOV software now installed and being tested for monitoring and output reporting. Lack of staff resources to manage all the workload Developer Contributions Policy under active review 	4	2	8	<p>Head of Planning, Historic & Natural Environment</p> <p>During 2018/19</p>	
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CR	1.4	<p>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</p>	<ul style="list-style-type: none"> Estimates from MMI continue to report a liability Potential to increase MMI levy as a result of recent foster care judgement and could impact the SOA. The judgement has an unknown impact Any claims arising from the time Independent were insurers would need to be self-funded. 	<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 	<p>Director of Finance (Corporate Resources)</p>	<ul style="list-style-type: none"> Detailed review of MMI claims undertaken before payments made 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' is established to meet such losses which is reviewed Training held to inform staff an management who undertake placement decisions re potential for future liabilities following Supreme Court decision that a local authority can be held vicariously liable for the wrongful actions of foster carers to a child in foster care 	4	4	16	Tolerate		4	4	16	<p>Head of Internal Audit Service and Insurance Manager</p> <p>Ongoing 2018/19</p>	
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<p>C&FS</p>	<p>1.5</p>	<p><u>Social Care</u></p> <p>If the number of high cost social care placements (e.g. external fostering, residential and 16+supported accommodation) increases (especially in relation to behavioural and CSE issues) then there may be significant pressures on the children's social care placement budget, which</p>	<ul style="list-style-type: none"> High cost placements increasing especially in relation to behaviour & CSE issues 	<p><u>Financial</u></p> <ul style="list-style-type: none"> High cost and overspending of budget 	<p>Director - Children & Family Services</p>	<ul style="list-style-type: none"> Weekly tracking of admissions and discharges of Children in Care - Panel process reviewed to introduce tighter HOS control of children entering care and legal proceedings (Child Decision Making Panel established January 2018) Annual Market Position Statements were published to ensure marketing and recruitment for placement sufficiency remains appropriately targeted (2015-17) - mainstream and specialist Foster Carer recruitment targets for 2017-18 will be met by the end of April 2018 (one month over); two new strategies (Recruitment and Retention Strategy and Adoption and 	<p>5</p>	<p>5</p>	<p>25</p>	<p>Treat</p>	<ul style="list-style-type: none"> Word Of Mouth project – six year programme of targeted savings Consultant advising on additional growth and to deliver a revised payment scheme Advice being taken for additional growth to recruit foster carers Approach to Fostering being looked at by Transformation unit through consideration of use of market for contracted residential beds 	<p>4</p>	<p>5</p>	<p>20</p>	<p>Director - Children & Family Services</p> <p>During 2018/19</p>
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		funds the care of vulnerable children.				<p>Permanence Strategy) will sit under an overarching Placement Strategy to be launched April 2018; targets against both these Strategies have already been agreed.</p> <ul style="list-style-type: none"> • 16+ placement framework was introduced during 2016 and has effectively allowed the service to manage costs of these placement but ensure we have sufficiency to enable to move children from more costly placements or for UASC. • Complex Care Panel with health is ongoing, allows shared decisions for children in care with more complex and continuing needs • Processes have been amended so that requires for residential placements must 							
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						<p>now be signed off by the Director and requests for independent fostering and 16+ by the AD for CSC – this is helping to ensure appropriateness and quality of requests and allowing closer scrutiny of processes</p> <ul style="list-style-type: none"> • Monthly high level DMT reviews are ongoing. 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 • Adoption complaints significantly reduced during 2017 with the introduction of a dedicated Service Manager for Permanence, the introduction of a support 							
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						<p>worker following the growth bid and a programme of training and awareness to promote staff understanding of the child's permanence journey - further improvements in Permanence (adoption and SGO) will be achieved in 2018, with an ongoing programme of awareness, introduction of dedicate staff for SGO support and recruitment of a third therapeutic worker for post 3 year adoption placement</p>							
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<p>C&FS</p>	<p>1.6</p>	<p><u>Education</u></p> <p>If the provision of support to high needs pupils (including SEN placements) cannot be reduced, then required savings against this budget will not be achieved</p>	<ul style="list-style-type: none"> Services requesting support for high needs including SEN placements. Insufficient budget 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Unable to meet the needs of all vulnerable children effectively Unable to meet the department's statutory duties around SEN Placements <p><u>People</u></p> <ul style="list-style-type: none"> Resources tied up in independent provision and not wide benefitting Leicestershire children and young people <p><u>Reputational</u></p> <ul style="list-style-type: none"> Bad publicity and low confidence in Local Authority to support vulnerable children and young people Low confidence in ability of department to manage it's services, budgets and meet savings targets (MTFS). Poor outcomes at SEND Inspection <p><u>Financial</u></p> <ul style="list-style-type: none"> Budget overspent 	<p>Director – Children & Family Services</p>	<ul style="list-style-type: none"> High Needs Project Board in place Work with our maintained and academy mainstream and special schools to increase their capacity to meet higher levels of need Work with Behaviour Partnerships to increase their capacity to offer provision New improved contract and procurement arrangements now in place New extended offer at Oakfield for children with behavioural difficulties is now in place New extended offer at Maplewell Hall and Birchwood School for children with Autism now in place review of pupils in independent provision at key transition points 	<p>5</p>	<p>4</p>	<p>20</p>	<p>Treat</p>	<ul style="list-style-type: none"> Development of mainstream resource and special school capacity: We have two Secondary Resource bases already in place – Wigston and Iveshead – and are opening further resource bases at Rawlins Academy (10 place) Hinckley Academy (10 up to 20 places) and All Saints Primary Wigston (10 place) from April/Sept 2018. Co-production with parents has taken place to design this provision. Criteria for EHCP and top up funding has been reviewed and draft revised criteria being piloted during summer term. SEN Panel processes have been refreshed to include greater input from partners and decision making oversight. Post of SEND Inclusion Development Officer established, to lead on sufficiency planning 	<p>4</p>	<p>4</p>	<p>16</p>	<p>Head of Service SEND & CDS During 2018/19</p>	
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				/ continuing budget overspend which is unsustainable <ul style="list-style-type: none"> Required savings targets not met 											
2. Health & Social Care Integration															
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	<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 <u>Financial</u> <ul style="list-style-type: none"> The investment 	Director-Adults & Communities	<ul style="list-style-type: none"> 5 year Strategic Plan has identified five key strands for change, they include the development of : new models of care focused on prevention, and moderating demand growth, and an integrated urgent care offer. A reconfiguration of hospital based services, subject to consultation. Redesigned pathways to deliver improved outcomes for patients and residents. Operational efficiencies - to support financial sustainability Getting the enablers right- 	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 	4	3	12	Director-Adults & Communities & Assistant Director – Strategy & Commissioning Ongoing

		sustainability.		<p>case within the SOC in not fully supported, leading to gaps in the financial plan/assumptions for delivering the programme</p> <ul style="list-style-type: none"> • The savings from STP are not achieved, leading to gaps in the financial plan/assumptions for delivering the programme. • A notional figure of £5m impact on ASC has been highlighted 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>including workforce; IM&T; estates; and health and social care commissioning integration</p> <ul style="list-style-type: none"> • New STP Governance arrangements have been developed which includes a new System Leadership Team (SLT) with membership from the five NHS partner organisations and the three upper tier local authorities. • 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>financial balance is being addressed through additional bed capacity planning and consideration of funding solutions</p> <ul style="list-style-type: none"> • Consideration is being given to the development of an Accountable care organisation (fully integrated Health & Social Care) to increase integration across partners, reduce duplication and enhance decision making 				
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				<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 											
A & C	2.2 (ii)	<p>If we fail to effectively demonstrate the impact of 'left shift' initiatives on social care, then this will lead to increased demand.</p>	<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 	3	3	9	<p>Director-Adults & Communities & Assistant Director – Strategy & Commissioning</p> <p>Ongoing</p>

				<p>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 April 2018</p>											
CR & A& C	2.4	<p><u>Domiciliary Care</u></p> <p>If the domiciliary care market does not have the capacity to provide high quality</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 	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>

3. ICT, Information Security															
All	3.2	If the Council fails to meet the information security and governance requirements then there may be breach of the statutory obligations	<ul style="list-style-type: none"> Increased information sharing and direct access to systems across partnerships Increased demand for flexible working increases vulnerability of personal, sensitive data taken offsite. More hosted technology services Greater emphasis on publication of data and transparency Greater awareness of information rights by service users Increased demand to open up access to personal sensitive data 	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> Diminished public trust in ability of Council to provide services Failure to comply with Public Service Network (PSN) Code of Connection standard would result in the Council being disconnected from PSN services, with possible impact on delivery of some vital services. <p><u>People</u></p> <ul style="list-style-type: none"> Loss of confidential information compromising service user safety <p><u>Reputation</u></p> <ul style="list-style-type: none"> Damage to LCC reputation <p><u>Financial</u></p> <ul style="list-style-type: none"> Financial penalties 	Assistant Director – Corporate Services / Head of Information Management & Technology	<ul style="list-style-type: none"> New, simplified Information Security and Acceptable Use Policy in place PSN compliance achieved Regular penetration testing and enhanced IT health checks in place Improved guidance about data transfer tools in place Programme of communications in place to 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 	4	4	16	Treat	<ul style="list-style-type: none"> 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	Assistant Director - Corporate Services During 2018/19

			and information to support integration of services and development of business intelligence.			<p>staff in place-made mandatory for all staff. All staff enrolled first of February 2017</p> <ul style="list-style-type: none"> • Induction process includes requirements around information security • New firewall in place providing two layers of security protection in line with PSN best practice • Development of e learning refresher course • Improved monitoring of e-learning completion through the new Learning Management System • Development and implementation of Intrusion Detection Policy • COMMS Plan in place to raise awareness with staff 							
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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 with 	<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 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 	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) and Director of Law and Governance	
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			<ul style="list-style-type: none"> Indexing training not in place or provided 	Protection Act - Principle 5									
CR	3.6	If a replacement (ERP) system is not implemented effectively and by 2020 then the organisation will not reap the full benefits of change	TBC	TBC	Director of Corporate Resources	<p>Formalised project plan to procure replacement system</p> <p>Strict monitoring of progress against key milestones for early identification of progress issues</p> <p>Governance arrangements in place.</p>		15		<ul style="list-style-type: none"> Progress procurement of new system and user engagement 			

C&FS	3.7	If the quality of data in C&FS Information Management System is too low to satisfy statutory requirements (e.g. data returns) this will impact upon service delivery	Tbc	<u>Tbc</u>	Director of C&FS	Tbc			20	<ul style="list-style-type: none"> Tbc 				
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4. Commissioning & Procurement															
AI	4.1	<p>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</p>	<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 	<p>Director – Corporate Resources & Transformation / Assistant Director – Corporate Services</p>	<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 Framework available in the Toolkit Recruitment completed for Commissioning Support Unit to strengthen contract management arrangements 	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	<p>Head of Commissioning and Procurement Support</p> <p>During 2018/19</p>

						<ul style="list-style-type: none"> LLR and LCC Commissioning Programmes completed 							
E&T	4.2	If Arriva is successful in its concessionary travel appeal then reimbursement costs for the total scheme could	TBC	<u>TBC</u>	Director E&T	<ul style="list-style-type: none"> Current mitigating actions include an appeal response to the DfT on 29/1/18 (use of external consultant to support). Submission of evidence has refuted all claims for additional costs by Arriva save for reclassification of 		15	<u>TBC</u>				

		increase significantly				<p>service types. The timescale for appeal determination is possibly up to 18 months therefore until the appeal is determined the maximum risk for the Arriva appeal remains at £916,000 (of which reclassification is approx. £118,000).</p> <ul style="list-style-type: none"> • There is a further risk that if the approach adopted by Arriva is found to be appropriate then the county is likely to be exposed to a further financial risk from other operators. 						
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5. Safeguarding															
CF S	5.1	<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>Historical</u> Concerted effort to explore historical exploitation and abuse in response to the Independent Inquiry and Police Operations</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>Reputation</u> Chief Executive</p> <p><u>Reputation & 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 	5	5	25	Treat	<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 	4	5	20	<p><u>Reputation</u> Chief Executive</p> <p><u>Reputation & 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>

6. Brexit															
All	6.1	Uncertainty and significant knock on consequences on public services (including potential legal, regulatory, economic and social implications), and the local economy as a result of the United Kingdom leaving the European Union	Uncertainty and impact on local government	<p><u>Service Delivery</u></p> <ul style="list-style-type: none"> • Uncertainty around ESIF and other funding streams • Uncertainty around any potential changes to government policy following the formation of a new government. Lack of steer for local policy making. • Impact on the Economy due to uncertainty during the negotiation period. • Impact on staffing in commissioning contracts involving high numbers of non UK citizenship e.g. home care and cleaning. <p><u>Legal</u></p> <ul style="list-style-type: none"> • Changes in UK/EU legislation e.g. procurement, employment <p><u>Financial</u></p> <ul style="list-style-type: none"> • Uncertainty around EU funding, inward investment • Further austerity 	CE/Directors	<ul style="list-style-type: none"> • Working with partners to maximise benefit from existing European bids and programmes • Review of significant policies relevant to the management of these risks (e.g. investment policy) to ensure they are fit for purpose in the new environment; • 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 	4	4	16	Treat	<ul style="list-style-type: none"> • Monitor post Brexit negotiations and national policy direction and maintain an overview of the developing situation. • Leicester and Leicestershire Business survey is being commissioned to review business confidence, investment plans and barriers to growth. 	4	4	16	Assistant Chief Executive

				measures and demand pressures <u>People</u> Impact on incumbent workforce who have non UK citizenship e.g. agency workers		modelling future scenarios relating to Brexit impacts to inform future policy. <ul style="list-style-type: none">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									
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 mechanism 	<u>Service delivery</u> <ul style="list-style-type: none"> Increased pressure on services to provide same/more with less Increased requirement for temporary/casual staff. <u>People</u> <ul style="list-style-type: none"> Negative impact on staff if they perceive absences are not 	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 	4	4	16	Treat	<ul style="list-style-type: none"> Targeted work with managers and services (Intensive Support Project). Develop, agree and implement Increment Policy (on hold) Implementation of absence management triage project - impact reporting at 3; 6 & 12 mths before full roll out. Pilot has ended – not taken 	4	3	12	Assistant Director, Corporate Services (Corporate Resources) During 2018/19

9. 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 2019/2020	<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
10. Environment															
E&T	11.1	If the Authority fails to respond and manage Ash dieback (Chalara) at a local level, then it could be	<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 – 	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 	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 	5	2	10	Assistant Director Highways & Transport During 2017/18

	exposed to financial, reputational, and environmental consequences		additional resources to undertake tree inspections, replanting strategy, availability of qualified tree surgeon to undertake work		Leicestershire					involvement of external partners and communication with Members				
										<ul style="list-style-type: none"> Undertake inspections twice a year to determine extent and progress of the disease. 				

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	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	26 May 2017

		Ministers until April 2020		Risk Register	
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	<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	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

		solutions then service improvements and savings will not be achieved.			2017
CFS	5.1	Safeguarding- Current Risk element If as a result of a concerted effort by the IICSA and Police Operations there is a significant increase in identified cases, then the Council does not have the capacity to meet the demand on the CSE resources	25	Note that whilst the 'Historical' risk and score is to be retained unchanged in the CRR, the IICSA ¹ Strategy and Governance Group proposed (6 December 2017) that the 'Current' risk (<i>If as a result of a concerted effort by the IICSA and Police Operations there is a significant increase in identified cases, then the Council does not have the capacity to meet the demand on the CSE resources</i>) should be removed from the CRR, but nevertheless retained (and reworded) in the C&FS Departmental Risk Register. This suggestion is based on the limited connection between historical allegations and the current CSE service which is now established within the departmental budget in terms of costs and funding. ¹ The Independent Inquiry into Child Sexual Abuse	29 January 2018
CE	2.5	Health & Social Care Integration (BCF) If Health and Care partners fail to deliver the local integration programme in accordance with national Better Care Fund (BCF) policy, within the financial envelope of the BCF pooled budget and by meeting national metrics, then elements of BCF funds could be withheld.	16	The level of financial risk was reduced after a letter was received from the Ministry of Housing, Communities and Local Government (formerly the Department for Communities and Local Government) and Department of Health and Social Care (formerly – Department of Health) Secretaries of State on 6th December 2017 to confirm that due to the improved the DTOC (Delayed Transfer of Care) performance that there will be no impact on the Improved Better Care Fund – (IBCF) allocation for 2018/19. The risk will be reviewed following the publication of the National BCF Operational Guidance for 2018/19 which is due to be published soon. The current risk score has been re-evaluated and reduced (from 16 to 9)	23 April 2018
All	3.3	ICT, Information Security (Business Intelligence) If there is a failure to provide business intelligence required to support transformation, inform commissioning, and strategic planning and to complete statutory returns then policy will not be evidence based.	15	The current risk score has been reduced from 15 to 12 as good progress has been made across a number of areas: <ul style="list-style-type: none"> Data and Business Intelligence Strategy and Implementation Plan in place. Ongoing support for front line managers in managing data and provision of Tableau data quality reports to identify weaker areas. Tableau self-service dashboards rolled out across many areas of the council. BI Development team established and Business Partners in post to manage relationships with each Department and with IT. Ongoing work to improve data quality issues. Many performance dashboards have an accompanying data quality dashboard. The risk will continue to be managed within the CE Departmental Risk Register.	23 April 2018

E&T	9.1	<p>Health & Safety (SEN risk assessments)</p> <p>If the Service is unable to recruit appropriate skills / resources to implement Audit recommendations then service users' safety is at risk as well as financial and reputation consequences.</p>	15	<p>All outstanding SEN transport risk assessments were completed by the end of January 2018. Processes have been embedded to ensure assessments are revisited with increased staff resource focussing on planned review updates.</p> <p>The Current Risk Score has been reduced to 5 and the risk will be managed at Departmental level.</p>	23 April 2018
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