Dept./ Function	CRR Risk No	Risk Description	Current Risk Score (incl. changes)	Update Based on risks discussed at department's management teams during March 2019	Direction of Travel ** (Residual Risk Score over the next 12 months)
1. Medium Term Strategy					
All	1.1	Risk around the MTFS including the ability to deliver savings through service redesign and Transformation as required in the MTFS, impact of the living wage and other demand and cost pressures.	25	<u>MTFS</u> • MTFS approved at County Council. • Maintaining position of balanced in the next 2 years. • Funding of Capital Schemes increasingly difficult • Responded to Fair Funding and Business Rate Retention in February 2019. Working with County Council's Network to develop Adult Social Care Formula. <u>Transformation</u> Transformation Unit is working with all departments to continue to deliver existing savings targets and to identify new opportunities for savings through the development of relevant business cases.	Expected to remain high/red
CE	1.3	If the Council fails to maximise developer contributions then there could be a failure to fund corporate infrastructure projects	16	Actions are underway to: • Complete update of S106 policy; • Proposals being developed for a new Corporate Growth Unit; • Additional resource will be directed to this area	Expected to move to medium/ Amber
CR	1.4	If claims relating to uninsured risks materialise or continue to increase then LCC will need to find increased payments from reserves, impacting on funds available to support services	16	The Court of Appeal hearing between MMI and Equitas in relation to the allocation of claims to MMI's reinsurance programme took place between 18-20 March. The Court found in favour of Equitas and upheld its appeal. All three Judges agreed with the outcome. The MMI board will discuss 'next steps' with its counsel. Given the importance of the issues for MMI and its balance sheet, it is considering applying for permission to appeal the decision to the Supreme Court. This must be submitted by 30th April. There is likelihood that the costs of settling future individual mesothelioma claims will increase as new and expensive, state of the art treatments in the form of immunotherapy are developed.	Expected to remain high/red

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C&FS	1.5	Social Care: If the number of high cost social care placements (e.g. external fostering, residential and 16+ supported accommodation) increases (especially in relation to behavioural and CSE issues) then there may be significant pressures on the children's social care placement budget, which funds the care of vulnerable children.	25	Although the number of residential placements has remained constant since December 2018 (58), the number of children with high cost care packages 9 (to manage risk to young people's safety) also remains high. Activity to manage this risk include: • MISTLE *: it is too early following implementation of MISTLE for the true impact to be felt, with the first child moving from residential care at the end of Feb 19. • Care Placement Strategy: is overseen at Directorate level to develop and oversees strategies to manage demand and cost in this area *MISTLE (Multi-disciplinary Intervention Support Team Leicestershire) combines multi-agency working and foster care in the local community, with therapeutic care for children, teenagers and young adults (8-18). The service is commissioned form Family Action.	Expected to remain high/red
C&FS	1.6	Education: If the High Needs Block Development Plan is not delivered on time and within budget then the number and cost of specialist placements is likely to exceed current predictions and the High Needs Block Budget will exceed latest forecasts.	20 (reduced from 25)	Twice as many schools have expressed an interest in the county's specialist provision for Social, Emotional, Mental Health and Communication and Interaction. The Service is optimistic that it can establish resource provisions within timescales. However, as demand continues to rise, there is a need to maintain a focus on effective inclusive practice across all schools.	Expected to remain high/red

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CR	1.7	If the Council is not compliant with the HRMC IR35 regulations regarding the employment of self-employed personnel then there is a risk of large financial penalties	20	The newly appointed compliance post is now leading on this. A plan is in place to tackle new appointments via comms and Human Resources Policies (temporary workers and independent contractors) have been updated as well as working practices. This information will be issued shortly to managers and then a review of existing appointments will be undertaken to ensure compliance.	Expected to move to medium/ Amber
CR	1.8	If public sector partners and major providers of services to the public sector get into financial difficulties there could be an impact on both the Council's financial position and services.	16	A refreshed contract management toolkit is available on the intranet for contract managers outlining the requirements for financial monitoring (credit scores) at least annually. A corporate refresh of all High Value/Business Critical/High Risk contracts is planned for August 2019. The financial standing will then be monitored for the duration of the contracts.	Expected to increase
C&FS	1.9	If the immigration status of unaccompanied asylum-seeking children (UASC) who arrive in the County is not resolved, then the Council will have to meet additional long term funding in relation to its housing and care duties.	20 (increased from 16)	There have been 19 new arrivals over the last two months; a large number of these are of school age. It is difficult to predict or not whether this high level will continue. The budget requirements for 2019-20 were based on a 3 year pattern of low number of spontaneous arrivals over colder months and higher numbers in warmer months. However January-March has seen a sustained high number of arrivals in cold months which was not forecasted. Should this pattern of arrival continue, then the budgetary requirements will need to be revisited. There is little information available from the Home Office or Border Control Intelligence to assist with this forecasting. Regionally LAs share information about numbers of arrivals and it is confirmed that there are rising numbers across the region.	Expected to remain red/high

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				The Council has 3 assigned 'ports' for arrival. If UASC arrive in Leicestershire's boundaries, at East Midlands Airport or between Junction 21 and Donnington Services, it is Council's responsibility to provide care.

Regular updates are provided to the Lead Member and Director regarding the number of arrivals. | |
| **2. Health & Social Care Integration** | | | | | |
| All | 2.2 | Impact on County Council services and MTFS of the Better Care Together (medium term) transformation plan in Leicester, Leicestershire and Rutland (LLR), could lead to inability to deliver improved outcomes and financial sustainability. | 16 | The NHS Long Term Plan was published on 7 January. Every area is to develop a plan to deliver these national priorities, including the expectation that each area will become an Integrated Care System (ICS). This plan is to be submitted to NHS England for approval by the end of summer.

The LLR ICS plan will build on the existing vision and priorities as set out by the Better Care Together Partnership, however the new ICS arrangements will require significant changes to governance including service delivery and commissioning being organised at 3 tiers of system, place and neighbourhood levels.

Discussions are underway to determine which services will be planned, commissioned and delivered at system level across LLR; Place level with the Leicestershire County footprint ; and at neighbourhood/ locality level with primary care and locality partners. Future governance arrangements will need to reflect these three tiers.

A major reconfiguration of the 3 LLR CCGs is taking place during 2019/20 in preparation for ICS arrangements, presenting additional leadership risks during a key transitional year for the NHS, both in terms of policy and financial delivery. | ⟺

Expected to remain high/red |

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All	2.3	Challenges caused by the Welfare Reform Act 2012 and the Welfare Reform and Work Act 2016.	16	The roll out of Universal Credit for most new claims has been completed throughout the county. The Universal Support to assist with new claims through to first payment previously provided by the district councils moved to Citizens Advice in April 2019. In January 2019, the Government announced changes to the roll out of Universal Credit so that people in receipt of any of the previous legacy benefits which included a severe disability premium and who experience a change of circumstances which would have triggered a claim for Universal Credit are no longer able to claim Universal Credit and will continue to claim the legacy benefit until they are subject to Universal Credit 'managed migration' in the future. The start of the Government's 'managed migration' process, to move existing claimants from the legacy benefits to Universal Credit has been delayed from July 2019 to January 2020, with a pilot project in North Yorkshire commencing in July 2019. The Government plans to complete managed migration to Universal Credit by the end of 2023.	Expected to remain high/red
3. ICT, Information Security					
CR	3.2	If the Council fails to meet the information/cyber security and governance requirements then there may be breach of the statutory obligations	16	With regard to training on Information Security and Data Protection latest data on the Council's Learning Hub shows 88% compliance against a target of 90%. However, ongoing requirements to review training every 12 months could impact on the compliance rate. Phase 2 elements of the General Data Protection Regulation (GDPR) have been completed have been completed as planned but further work is progressing under the Information Governance Board. This focuses on implementation of the Information Asset Register solution, Surveillance Camera Systems and collaboration systems.	Expected to move to medium/ amber

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All	3.5	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.	15	Following an earlier report to Chief Officers in January 2019, a detailed scope is being developed which will result in a plan, and consideration of required resource.	⬇ Expected to move to medium/ amber
CR	3.6	If a replacement (ERP) system is not implemented successfully the Council will not reap the benefits and the Council's financial and HR activity could be negatively impacted upon	20	Testing Strategy has been completed and Managers are currently conducting workshops to develop the business scenarios for testing. Data cleansing (commenced in October 2018) is an ongoing activity and will be in place until the programme ends. Approximately 200 advisory and design workshops have been completed with substantial agreement achieved on the system design. A range of areas with functionality gaps have been identified and prioritised depending upon the impact upon business processes and user experience. These are being discussed with the software vendor and implementation partner to agree the best way forward.	⬌ Expected to remain high/red
C&FS	3.7	If the quality of data in Children and Families (C&FS) Information Management System is too low to satisfy statutory requirements (e.g.	16	Further tableau reports have been embedded; and are now accessible to Team Managers and Business Support. This should lead to improved data quality - data returns are due over the next few months.	⬇ Expected to

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		data returns) this will impact upon service delivery			move to medium/ amber
4. Commissioning & Procurement					
CR	4.1	If the Authority does not obtain the required value and level of performance from its providers and suppliers then the cost of services will increase and service delivery will be impacted.	15	The guidance on setting and monitoring KPIs for Contract Managers went live on the toolkit in December 2018 as planned. Key supplier cost reduction programme delivering £500k savings. Is ongoing.	Expected to move to medium/ amber
E&T	4.2	If Arriva is successful in its concessionary travel appeal then reimbursement costs for the total scheme could increase significantly.	15	No change to previously reported position.	Expected to move to medium/ amber
5. Safeguarding					

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C&FS	5.1	Historical: 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	25	A Preliminary Hearing has been scheduled by the IICSA for 23 May 2019 at which details regarding the Public Hearings will be agreed.	⇔ Expected to remain high/red
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.	16	Command, communication and control structures have been established within the Council and across Leicester, Leicestershire and Rutland (LLR) Prepared. An EU sub-group has been established and specialist cells for Communications and Transport. Reports have been submitted to Chief Officers and an All Member Briefing held. Weekly "Situation Reports" are submitted to Government in line with MHCLG directions. Trading Standards: Brexit will bring about significant demands on the service to provide business advice on new regulations (e.g. food and product safety) and an enforcement response to an expected increase in bringing businesses into compliance.	⇔ Expected to remain high/red
7. People					
CR	7.1	If sickness absence is not	16	The Intensive Support Project is ongoing.	

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(ALL)		effectively managed then staff costs, service delivery and staff wellbeing will be impacted		Trade Unions have not accepted the position with regard to tightening of the Absence Management Policy - the initial target is to reduce absence to 8 days per FTE by August 2019 recognising that the corporate target remains at 7.5 days FTE. A Workshop has been held with trade unions and steps to resolve policy changes agreed.	⬇ Expected to move to medium/ Amber

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All	7.2	Recruitment and retention

If departments are unable to recruit and retain skilled staff promptly then some services will be over -reliant on the use of agency staff resulting in budget overspends and poor service delivery | 15 (reduced from 25 | C&FS (risk score =15)

Positive impact from recruitment and retention strategy has resulted in the Department holding fewer vacancies, however nationally there is an issue of recruiting and retaining staff. Much of the recruitment success has been around recruiting for the Assessed and Supported Year in Employment Programme (ASYE) which is positive for the future, nevertheless this presents pressures of how these staff are supported (i.e. require extra support, knowledge etc. but not in a position to take on the full case load of a social worker).

A&C (risk score =12)
The risk score has been reduced from 16 as the vacancy rate is currently low. | Expected to remain high/red |
A&C	7.3	If the department does not have a sustainable external workforce to work with it may be unable to meet its statutory responsibilities.	16	No change to previously reported position	Expected to move to medium/ Amber
8. Business Continuity					
CE	8.1	If suppliers of critical services do not have robust business continuity plans in place, the Council may not be able to deliver services	15	Structure for oversight and agreement of all contracts is not yet in place. Enforcement and rigor of guidance is not fully in place.	Expected to remain high/red

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9. Environment					
E&T	9.1	If the ash dieback disease causes shedding branches or falling trees then there is a possible risk to life and disruption to the transport network.	15	No change to the previously reported position.	⬇ Expected to move to medium/ amber
E&T	9.2	If there was a major incident which results in unplanned site closure (E.g. fire) then the Council may be unable to hold or dispose of waste.	15	No change to the previously reported position	⬇ Expected to move to medium/ Amber
10. Partnerships					
C&FS	10.1	If the Local Authority and partners do not succeed in developing an inclusive culture across all schools, education providers and partner agencies (including the Parent Carer Forum), then it will be difficult to secure parental confidence in the ability of the 'whole system' to meet the needs of the large majority of children with SEND in a mainstream school context.	16	Consultation with stakeholders on the new proposed provision has emphasised the importance of continued focus and capacity to support mainstream schools in being inclusive. This will be a continued feature of the high needs block development plan.	⬇ Expected to move to green

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Department

A&C =	Adults & Communities	E&T =	Environment and Transport
CE =	Chief Executives	PH =	Public Health
CR =	Corporate Resources	All =	Consolidated risk
C&FS=	Children and Family Services		

**The arrows explain the direction of travel for the risk, i.e. where it is expected to be within the next twelve months after further mitigating actions, so that:

- o A horizontal arrow shows that not much movement is expected in the risk;
- o A downward pointing arrow shows that there is an expectation that the risk will be mitigated towards 'medium' and would likely be removed from the register;
- o An upwards pointing arrow would be less likely, but is possible, since it would show that the already high scoring risk is likely to be greater.