








CORPORATE RISK REGISTER – UPDATE ON RISKS SEPTEMBER 2019

Dept./ Function	CRR Risk No	Risk Description	Current Risk Score (incl. changes)	Update Based on risks discussed at department's management teams during September 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/cost pressures including legal challenges.	20 (reduced from 25)	<p><u>MTFS</u></p> <ul style="list-style-type: none"> • Government recognition of LA problems backed by significant cash in 2019 spending round. • Government announced delay to reforms, but reconfirmed commitment. Exploratory work on SEND funding. • A new 'Growth Unit' that will improve the financial impact of major capital schemes has been established and recruitment is underway • The production of the MTFS 2020-24 has commenced and the initial position produced for October. The public consultation on the Council's future financial priorities has been completed and the outcome will be used to inform the update of the MTFS in December <p><u>Transformation</u> Transformation Unit is working with all departments to continue to challenge, deliver existing savings targets and to identify new opportunities for savings.</p>	 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	The new S106 policy for developer contributions has been adopted (Cabinet – June 2019) which reduces the likelihood of not securing contributions. The Council has created a new Growth Unit which will assist with securing developer contributions for major infrastructure projects.	 Expected to move to medium/Amber
C&FS	1.5	<u>Social Care:</u> 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)	20	Current residential placements stand at 62 - the rise in residential figures is due to court directed parent and baby placements.	 Expected to remain high/red


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

		then there may be significant pressures on the children's social care placement budget, which funds the care of vulnerable children.			
C&FS	1.6	<u>Education</u> The absence of a robust Development Plan that takes account of improvements in practice, systems & processes, funding & commissioning, partnership development and the successful delivery of the associated capital programme could lead to sufficiency issues and continued pressures on the High Needs Block budget.	20	Further rigour has been placed around the Development Plan that provides SMART targets for each of the workstreams so that the Board can sufficiently track progress. In addition to this, the Transformation Unit have bought forward their activity within the SEND service. This analysis will allow the Service to determine priority areas of work.	 Expected to remain high/red
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	A dedicated Compliance Officer has been appointed. A review of all current identified posts within and outside of the Reed Employment Agency is being undertaken to identify issues. Cases are being reviewed on a case by case basis, and the status of a number of interims is being moved to 'inside IR35'. There is now a clear process for managers who are engaging interims, and the process is supported by clear policies, an e-learning module, and regular communication.	 Expected to move to medium/ Amber
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-	16	The total number of UASC in care is 95 (position reported in June 2019 was 92). The service received bid funding to run a regional recruitment campaign for carers. A project board has been convened and recruitment is underway.	 Expected to remain red/high




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

		term funding in relation to its housing and care duties.			
CE	1.10	The Council is unable to meet the financial investment required to deliver infrastructure in support of housing development committed in districts Local Plans and that where this contribution can be recouped through s106 agreements secured by District Councils, the funding doesn't meet the full cost and is secured long after the commitment is made.	25 (New)	A number of mitigation measures are underway including: <ul style="list-style-type: none"> • New Governance to oversee capital investment in growth projects (Growth Delivery Board and the Finance Capital Programme Board) • Establishment of a permanent Growth Unit 	 Expected to remain high/red





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	No change to risk score. The Council has confirmed its position on integrated care systems at Cabinet (September 2019). Development of Home First and Neighbourhood Teams are underway.	 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	'Managed migration' for people claiming legacy benefits to move to Universal Credit is due to commence in January 2020, subject to evaluation of the current pilot project in North Yorkshire. People receiving legacy benefits which includes a severe disability premium will not start to move to Universal Credit until January 2021. 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 has a GDPR breach, then there could be a risk of significant liability claims	15 (Risk reduced from 16)	<p>Refresher training is being developed.</p> <p>The Asset Register solution is being configured and data is being loaded. Surveillance work has been a major priority. New surveillance policy, acceptable use policy, guidance on procuring and installing, and various processes have been drafted. These should be signed off in October.</p>	 Expected to move to medium/amber
CR	3.6	If the ERP system cannot accommodate all of the Council's requirements, then it may delay implementation and extra resources will be required to develop work arounds	20	<p>Following high level discussions with Oracle, the project team have a final view on functionality and planned workarounds to overcome the functionality gaps. Workarounds have been identified for most gaps and the rest will be addressed by Oracle in the upcoming releases.</p> <p>To minimise risk, the HR and Payroll go-lives have been spread across 5 go-live dates between January and June 2020. Finance would also go-live on a separate date to HR. Additional resources have been recruited to the project management teams.</p>	 Expected to remain high/red


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				Additional testing activity is being planned to increase chance of successful go live.	
CR	3.7	If the Council fails to prevent a major cyber attack on our ICT infrastructure, then the Council may lose sensitive data and its ability to operate	16 (New)	Funding has been secured – work is in progress to define training and an awareness campaign. Work is underway to design a Cyber Security Framework to define the Council's approach to cyber security, with the primary aim of building cyber defence, response and recovery capabilities. A Security Strategy (incorporating a cyber risk register) is being developed.	 Expected to move to medium/amber
4. Commissioning & Procurement					
E&T	4.2	If Arriva is successful in its concessionary travel appeal, then reimbursement costs for the total scheme could increase significantly.	15	The 2017/18 Arriva concessionary travel appeal was unsuccessful. The 2018/19 scheme appeal response was submitted, and the position is similar to 2017/18 as the grounds are similar to the 2017/18 appeal. The intention to appeal was lodged by Arriva in May 2019; the Council are in discussions with Arriva. Currently analysing new evidence provided and a delay in the requirement to submit an appeal has been agreed with Arriva and the Department for Transport.	 Expected to move to medium/amber
5. Safeguarding					
C&FS	5.1	<u>Historical:</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	25	The Preliminary Hearing into institutional responses to allegations of child sexual abuse was held on 24th September and it was agreed that the Janner Public Hearing will now be held in October 2020.	 Expected to remain

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		evidence of previously unknown serious historical issues of child sexual exploitation (CSE) or abuse is identified.			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	3c (Command, Communication, and Control) arrangements established. Brexit Liaison Officer (BLO) Assistant Chief Executive) and Deputy BLO (Assistant Director- Corporate Services) appointed. Council's European Union Exit sub-group established. Business Continuity plans reviewed and updated for all departments and critical services. Exercising and training undertaken as required. Specialist plans produced. National and Regional reporting ongoing to MHCLG and via the Local Resilience Forum. Single agency and multiagency site reports produced and submitted. Reports submitted to Chief Officers, and briefings provided to Strategic Coordinating Group and All Member Briefings held on 25 September.	 Expected to remain high/red
7. People					
CR (ALL)	7.1	If sickness absence is not effectively managed then staff costs, service delivery and staff wellbeing will be impacted.	16	<p>The Intensive Support Project is ongoing. Absence levels are decreasing with a net reduction of 0.5 FTE days for those groups in scope. A review of the Intensive Support Project will be presented to Chief Officers by early 2020.</p> <p>A peer review of attendance management was conducted by senior Human Resources staff from North Yorkshire County Council in early August 2019. A formal report is awaited, and the Employment Committee will receive an update on the main findings at the next meeting on 5 December 2019.</p>	 Expected to move to medium/ Amber
All	7.2	Recruitment and retention -		C&FS (risk score =15)	


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		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	In line with national picture, vacancy rates continue to fluctuate (June 9.6%) but overall downward trend. Pressures continue in teams with sickness and maternity coupled with agency turnover.	Expected to remain high/red
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	Commissioning Support Unit are progressing with implementation of a system to capture providers that are business critical suppliers that can then be flagged to the Business Continuity Team who would then be responsible for ensuring providers have sufficient plans in place.	 Expected to remain high/red
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	The implementation of the cross departmental action plan is progressing. The risk to life is still fundamental – as the key unknown factor is when the majority of the Council's Ash stock will fail due to the disease. The latest surveys appear to show an increased incidence of the disease in Leicestershire. An update of the action plan and associated risk register is planned	 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	Current risk score remains the same, Further actions to mitigate the risk are progressing (such as commencing procurement for treatment capacity) however these are medium to long term projects.	 Expected to move to medium/Amber
E&T	9.3	If the Council is not able to deliver on the commitments it has made in its climate	15 (New)	To address the climate emergency commitments made by the Council, the Environment Strategy will need to be updated. Work is underway to develop an action plan to set out how the Council will achieve the	

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		emergency declaration due to the complexity and difficulty of some of the decisions and actions that will need to be made, then this will impact on the Council's ability to fulfil its leadership role and have financial and reputational consequences.		commitments made in the climate emergency declaration. A review of the Council's Strategic Plan and Single Outcome Framework will be revised to incorporate the new environment and climate change commitments.	Expected to move to medium/ Amber
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E&T	9.4	If climate change impacts happen more frequently or at a greater intensity than anticipated, then there is the risk that County Council services will be negatively affected	20 (New)	Climate Change Risk Registers are being reviewed. Mitigation measures will be identified as part of the Climate Change Risk Register review that will seek to reduce the impact on council services.	 Expected to remain high/red
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10. Partnerships

C&FS	10.1	If the Local Authority and partners do not succeed in developing an inclusive culture across all schools, education	16	Significant work underway with schools around SEN support and access to inclusion support and early help to reduce the demand for EHCP needs assessment.	
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		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.			Expected to move to green

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:

- A horizontal arrow shows that not much movement is expected in the risk;
- 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;
- 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.

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RISKS REMOVED SINCE MAY 2019

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
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. data returns) this will impact upon service delivery	16	The current risk score has been downgraded from 16 to 12. - tableau reports have been embedded; and are now accessible to Team Managers and Business Support. This is led by two Heads of Service who jointly oversee quality meetings This risk has been removed from the Corporate Risk Register, but it will continue to be monitored through the Children & Family Services Departmental Risk Register.	26 July 2019
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 level of reserves is sufficient to reduce the current risk score from 16 to 12 and the risk will be managed and monitored at Departmental level via the Risk Register - Corporate Resources.	1 November 2019
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	15	Resources to address highest assessed physical record risks now being put in place (priorities agreed with Chief Officers in summer 2019). Risk levels regularly monitored by central team. Email storage / destruction approach agreed at Information Governance Board (September 2019). The current risk score has been reduced from 15 to 12 and the risk will be managed and monitored at Departmental level via the Risk Register - Corporate Resources.	1 November 2019

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Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
		reputational damage.			
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	A review of the risk has resulted in the current risk score reduced from 15 to 12 and the risk will be managed and monitored at Departmental level (Corporate Resources).	1 November 2019
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	The Department has reviewed the risk and reduced the current risk score from 16 to 12. Planning and timescales for action further progressed with domiciliary care to be re-commissioned in 2021 and residential care fee increase coming into effect from 2019/20. The risk will continue to be monitored as part of the A&C Departmental Risk Register.	1 November 2019

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