


















Dept./ Function	CRR Risk No	Risk Description	Current Risk Score (incl. changes)	Update Based on risks discussed at department's management teams during December 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	<u>MTFS</u> <ul style="list-style-type: none"> The draft MTFS 2020-24 has been approved by Cabinet for consultation with a balanced budget for 2020/21 and 2021/22. Approach is being developed for new savings, which will require departments to develop new initiatives. Proposals alongside confirmation of targets with be reported to Chief Officers. The Council is undertaking significant forward funding of capital infrastructure schemes that will be recouped from developers, but this is as significant risk to the Council. 	 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	Process review of S106 undertaken. Recommendations to introduce new processes and strengthen resources to be put in place early 2020.	 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) then there may be significant pressures on the children's social care placement budget, which funds the care of vulnerable children.	20	Current residential placements stand at 67 (62 - October 2019) - the rise in residential figures is due to court directed parent and baby placements and impact of child criminal exploitation (CCE). There is a consequence of needing more staff to mitigate the risks - refer to risk 7.2 Recruitment and Retention	 Expected to remain high/red





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C&FS	1.6	<u>Education</u> If demand for Education Health and Care Plans continues to rise, and corrective action is not taken, there is a risk that the high needs deficit will continue to increase.	20	A full resource plan has been agreed to further support the Higher Needs Block plan. Detailed diagnostics are enabling the programme team to design sustainable solutions and introduce relevant benefit metrics. Programme status has moved from emerging to delivery. The programme is on track in terms of its deliverables/programme activities, with work underway to understand when benefits will be realised.	 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	Confirmations have been received from external agency providers that National Insurance and PAYE are deducted on engagements. Developing information for a procurement toolkit. The working practices questionnaire has been updated to reflect the latest HMRC CEST toolkit and that this has been communicated to managers via DMTs and 'Managers Digest'.	 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-term funding in relation to its housing and care duties.	16	The total number of UASC in care is 100 (position reported in October 2019 was 95). Phased recruitment is taking place and it is hoped that the Team will be fully appointed by the end of March 2020.	 Expected to remain red/high


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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	Staff for the Growth Unit are in the process of being recruited	 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. Publication of LLR plan (expected early 2020). Communication plan to include Member briefing.	 Expected to remain high/red
All	2.3	Challenges caused by the Welfare Reform Act 2012 and the Welfare Reform and Work Act 2016.	16	The position in relation to Universal Credit remains unchanged due to the General Election. The benefits freeze is due to come to an end and working-age benefits will rise by 1.7% in April 2020. The State Pension will also increase by 3.9%.	 Expected to remain high/red

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3. ICT, Information Security					
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	There are key workarounds in place for all the critical functionality gaps in Oracle Fusion, although there are some new issues identified as part the current testing cycle. Defined checkpoints with clear gating criteria to ensure the solution is fully ready before taking it live. The go-live plan would be revisited based on these gates being cleared in early 2020. The delivery partner, Evosys, has also added resources to their team to ensure timely and quality delivery. The project is in its testing phases – go live plan starts April and complete June	 Expected to remain high/red
CR	3.7	If the Council does not manage its exposure to cyber risk, then decisions and controls cannot be taken to mitigate the threat of a successful cyber-attack.	16	A Cyber Security Strategy was presented to Chief Officers in December 2019 to seek support for a proposed 12-month plan of action. Regular reporting to Departmental Management Team and Chief Officers established. Priorities over the coming 12 months are: - <ul style="list-style-type: none"> • Establish a governance structure • Staff awareness campaign • Cyber incident response management plans • Major incident response plan • Development of a security controls framework A presentation on the risk mitigation is scheduled for the July committee meeting.	 Expected to move to medium/amber

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4. Commissioning & Procurement					
		No risks under this heading			
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 evidence of previously unknown serious historical issues of child sexual exploitation (CSE) or abuse is identified.	25	No change to the previously reported position of October 2020.	 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	Having secured a majority at the general election, the Prime Minister has pledged to leave the European Union (EU) and "get Brexit done by 31 January 2020". Until the new trade deal has been negotiated and signed off by the UK and EU, the UK will enter a transitional period (to 31 December 2020) to enable negotiations to taken place, meaning further uncertainty. Chance of no deal by the end of January has receded but until trade deal agreed with EU, this could affect financial markets.	 Expected to remain high/red

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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	Extension of the Intensive Support funding has been agreed in principle by Chief Officers in November 2019 with a proposed operating model to be discussed in January 2020. Following a peer review of attendance management, a report has been received and the main findings shared with Chief Officers and the Employment Committee. An action plan is being prepared. The Occupational Health Contract is being retendered – effective from April 2020.	 Expected to move to medium/amber
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	C&FS (risk score =15) Working with Corporate Resources to support improved recruitment processes. Work underway to identify level of establishment required to manage rising demands medium to long term. Delivering a dedicated recruitment and retention strategy. Successful partnership with frontline (3 participants now in the business), further 5 participants in training.	 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.	15	The capacity within the domiciliary care market in Leicestershire remains volatile. Whilst there is increasing capacity in some areas of the county leading to higher levels of care provision, availability across rural and isolated areas remains a challenge. The Council will be seeking to procure new domiciliary care contracts in 2020 with the aim of increasing supply, however all procurements carry a level of risk with regard to service re-provision and mobilisation of new service contracts.	 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	Awaiting the production of guidance by Commissioning Support Unit	 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	An update of the Action Plan and associated risk register is underway. Reporting will be undertaken via the Ash Dieback Board in April 2020.	 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	Further actions to mitigate the risk are progressing (such as commencing procurement for treatment capacity and preparing designs for a new Waste Transfer Station) 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 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.	15	An updated Environment Strategy will be presented to Cabinet in April 2020 followed by a detailed Carbon Action Plan in October 2020.	 Expected to move to medium/amber
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	No change to the previously reported position.	 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 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	Work is now underway to update the SEND and Inclusion Strategy and effective SEND Support in school will continue to be a key priority. This includes a range of measures, including a SEN Support Handbook containing advice on Best Endeavours and Reasonable Adjustments, training and briefing sessions, establishment of Inclusion Forums in geographical localities and on-going dialogue with schools through SENDCO Nets, Headteachers Briefings, training and events. There is also increased use of data analysis and information sharing through the Education Effectiveness Team to target work with schools, such as whole school SEND Review.	 <p>Expected to remain high/red</p>

Department

A&C = Adults & Communities
CE = Chief Executives
CR = Corporate Resources
C&FS= Children and Family Services

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

**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.

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	<p>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.</p> <p>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.</p>	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 reputational damage.	15	<p>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).</p> <p>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.</p>	1 November 2019

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
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
CR	3.2	If the Council has a GDPR breach, then there could be a risk of significant liability claims	15	Significant work has taken place to mitigate the risks around GDPR. Compliance continues to be monitored and strengthened governance arrangements are now fully implemented to monitor and identify any emerging risks. The Current Risk Score has been reduced from 15 to 12 and the risk will continue to be monitored through the Corporate Resources Departmental Register.	31 January 2020
E&T	4.2	If Arriva is successful in its concessionary travel appeal, then reimbursement costs for the total scheme could increase significantly.	15	Discussions with Arriva are ongoing. The risk will continue to be monitored as part of the E&T Departmental Risk Register.	31 January 2020