














Dept./ Function	CRR Risk No	Risk Description	*Current Risk Score (incl. changes)	Impact of Covid-19 on Risk May 2020	** Direction of Travel (Residual Risk Score over the next 12 months)
* The current risk score remains as at reported on 31 January 2020 due to the time constraints to undertake a full assessment.					
** The direction of travel has been updated					
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.	25 (increased from 20)	<p><u>MTFS</u> The overall financial impact of the pandemic is very difficult to quantify at present, not least because of the uncertainty around the length of the time the social isolation restrictions will be in place, how quickly they are relaxed and whether further periods of restriction are needed at a later date. In addition, there is the wider impact from the deep-rooted economic recession that will follow.</p> <p>The estimate for the current financial year is that the financial impact will exceed Government grant by approximately £30 million. there is significant uncertainty around this position:</p> <ul style="list-style-type: none"> • Impact upon Council Tax & Business Rates (£390m budgeted for 2020-21) • Support required to the social care provider market • Changes to services requiring them to operate with social distancing and other protective measures for a prolonged period of time. • Potential pent up demand for services released when schools and work places return. <p>Some of the financial implications will continue into future financial years. Due to the rapid financial impact, the current year budget shortfall will have to be funded by repurposing earmarked funds. This will require repayment in future financial years or de-prioritising certain projects. At an appropriate time, new saving initiatives will be required.</p> <p><u>Transformation</u></p> <p>Work has commenced on recovery planning to help ensure the Council’s services recover to a sustainable position, balancing service delivery with financial constraints. It will be important to ensure lessons are learnt from how the Council has managed itself through the crisis.</p>	 Expected to increase high/red



Dept./ Function	CRR Risk No	Risk Description	*Current Risk Score (incl. changes)	Impact of Covid-19 on Risk May 2020	** Direction of Travel (Residual Risk Score over the next 12 months)
CE	1.3	If the Council fails to maximise developer contributions, then there could be a failure to fund corporate infrastructure projects.	16	Concern that the Covid-19 is impacting upon housebuilding and the economy more generally, which will affect the ability of some developers to be able to pay contributions towards County Council infrastructure. This impact is likely to escalate the longer the crisis continues and there may be a need to allow developers to postpone payments. There is a further implication that if the economy falls into a lengthy recession, then housebuilding will significantly reduce, and some developers may contract or dissolve, increasing the difficulties with recovering S106 payments.	 Expected to increase high/red
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	The numbers of children in high cost placements has remained fairly stable but the unit costs of keeping children safe during Covid-19 have increased, leading to a number of increased packages of support.	 Expected to increase high/red
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	Programme Dossier is compiled which directly links all activity to programme objectives. Higher Needs Block programme has a well-developed mechanism to track benefits. New workstreams have been developed to encompass all required activity.	 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 report is being drafted for Chief Officers in order that appropriate Departmental Management Team level action can be taken for cases where there is still a risk.	 Expected to remain red/high



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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	In April there were 2 new arrivals. Arrivals have decreased with no new arrivals in the last 3 weeks. Impact of COVID19 on the budget is therefore low.	 Expected to remain red/high
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	When land values and the appetite of developers to progress major sites is known, possibly at the end of the year, a reassessment can be undertaken at that stage.	 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	The additional financial pressures on the system and priorities that emerge from the recovery plans could impact some of the work and will need to be monitored.	 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	<p>Central government has made several changes to social security benefits to assist people during the COVID – 19 Emergency Period:</p> <ul style="list-style-type: none"> • Temporarily increased the Standard Allowance in Universal Credit and Working Tax Credit. • Additional funding for district council to reduce the Council Tax liability for people who already receive some Council Tax Reduction/Support. • Payment of Statutory Sick pay and Contribution based Employment and Support Allowance from the first day of sickness. • Payment of Carer’s Allowance to continue if either the carer or the cared for is temporarily isolated dur to COVID-19. • Suspension of Capability for Work Assessments for Universal Credit and Employment and Support Allowance for 3 months. • Suspension reassessments for disability benefits for 3 months. • The Local Housing Allowance rates for Universal Credit and Housing benefit have been increased from 6 April 2020 to be equal to the 30th percentile rent of the Broad Market Area. <p>The government is considering its response to a Court of Appeal ruling on 12 May 2020 that failure to provide transitional protection for claimants who transferred to universal credit following incorrect legacy benefit decision was unlawful.</p> <p>The managed migration of existing claimants to Universal Credit won’t start until November 2020 at the earliest. The government currently expects to complete migration by September 2024.</p>	 <p>Expected to remain high/red</p>





Dept./ Function	CRR Risk No	Risk Description	*Current Risk Score (incl. changes)	Impact of Covid-19 on Risk May 2020	** Direction of Travel (Residual Risk Score over the next 12 months)
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	The implementation of a new Finance, HR and Payroll system (Fit for the Future) planned to go-live in April (Finance) and June 2020 (HR) has had to be postponed. Significant additional cost will be incurred, as a result of extending the project team and the prolonged period of time that two systems are required for. The aim is to go live at the earliest practical opportunity to reduce the additional costs, whilst work is undertaken to de-risk the go-live.	 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	<p>The IT infrastructure has been tested for new and expected circumstances and is performing well. However, there is heightened cyber security threat, identified by the National Cyber Security Centre with the Coronavirus topic being used as bait on electronic communications. The Council already has in place a cogent cyber security strategy however, it will continue to evolve its response as circumstance and intelligence dictates, with additional focus on the following priorities:</p> <ul style="list-style-type: none"> • Raise awareness amongst staff regarding increased level of cyber threats at this time; • Ensure that any efforts to find alternative ways of working do not circumvent existing security policies and practices; • Review of current procedures to identify, respond and recover from cyber incidents 	 Expected to remain high/red


Dept./ Function	CRR Risk No	Risk Description	*Current Risk Score (incl. changes)	Impact of Covid-19 on Risk May 2020	** Direction of Travel (Residual Risk Score over the next 12 months)
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 2019.	 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	Brexit has been relegated in importance by necessity in the UK, as Government has been diverted to dealing with the public health crisis. The UK government has insisted the Brexit transition period will not be extended beyond December 31, 2020, but there has not, as yet, been a reconsideration of the Brexit timetable in the wake of the pandemic. Trade negotiations with the EU have resumed.	 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	<p>Initial indications are that throughout April and May, sickness absence levels are reducing, even when taking into account COVID-19 related absence.</p> <p>The Council is prioritising wellbeing, ensuring that the offer is relevant for the current context. There are regular staff bulletins and a range of support for managers is available. E.g. managing remotely.</p>	 Expected to remain high/red
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	<p>Corporate</p> <p>Recruitment activity has declined during the first weeks of COVID-19. However, People Services are now working with managers on remote recruitment and preparing a comms campaign for hard to fill posts. Weekly meetings have been taking place with Reed and there has been a decline in new engagements. The redeployment hub has been working on filling short term demand for temporary posts and consideration is being given to how work on redeployment can be developed to maximise the Council's workforce prior to going out to recruitment or to seek agency workers.</p> <p>A&C</p> <p><u>Overall</u></p> <p>Increased pressure on LCC staffing due to shielding/sickness/caring absence and service delivery due to changing and evolving demands for social care, particularly in reablement and hospital discharge.</p>	 Expected to remain high/red

Dept./ Function	CRR Risk No	Risk Description	*Current Risk Score (incl. changes)	Impact of Covid-19 on Risk May 2020	** Direction of Travel (Residual Risk Score over the next 12 months)
				<p><u>Monitoring/tracking</u></p> <p>Being tracked using data from workforce cell on staff availability/absence and capacity and number of tests on staff in LCC delivered services. Data updated at least weekly and, in some cases, daily and available on live dashboard Risk is RAG rated with most measures green, except for reablement level of service (red) and staff absence (amber) based on data as of 20th May 2020.</p> <p><u>Mitigations</u></p> <ul style="list-style-type: none"> • Staff recruitment including approach to former LCC social work staff to return • Use of appropriately skilled volunteers to support LCC with lower level social care tasks • Suspension of Community Life Choices (day services) for working age adults with learning disabilities 	 <p>Expected to increase high/red</p>
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	<p><u>Overall</u></p> <p>Increased pressure on provider staffing due to shielding/sickness/caring absence and service delivery due to changing and evolving demands for services and increased costs including due to new hospital discharge requirements/expectations, protection of vulnerable services users, protection of staff, managing actual and suspected Covid-19 positive) service users.</p> <p><u>Monitoring/tracking</u></p> <p>Being tracked using data from workforce cell and surveys of/returns from providers including staff absence, care home bed availability (including Covid beds), Home Care awaiting care lists and capacity. Data updated at least weekly and, in some cases, daily and available on live dashboard.</p>	 <p>Expected to increase high/red</p>

Dept./ Function	CRR Risk No	Risk Description	*Current Risk Score (incl. changes)	Impact of Covid-19 on Risk May 2020	**Direction of Travel (Residual Risk Score over the next 12 months)
				<p>Tracking measures risk, available on a live dashboard, risk RAG rated with most measures green except for care placements in previous week (red) and home care staff absence/ unavailability (amber) based on data as of 20th May 2020.</p> <p><u>Mitigations</u></p> <ul style="list-style-type: none"> Established 7 days per week discharge hub with extended working hours and asked providers to ensure decision-maker was available during these periods to make placements. Enhanced provider communications including dedicated email and phone enquiry line, weekly conference calls and regular provider bulletins. Established Council “Inspired to Care” recruitment agency available for free to ASC providers – with significant interest (over 1400 expressions of interest/applications; over 100 posts being recruited to) and several placements already made. Offer of volunteer support to providers for low level social care tasks Additional funding for providers to cover additional Covid-19 costs e.g. shielding/sick staff, agency staff, PPE 	
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	<p>The Council is involved through its Local Resilience Forum, LLR Prepared, Resilience Planning Group to the 'respond, recovery and then new normal' phases following major crises and emergencies.</p> <p>The list of critical services included in Business Continuity plans across the Council has been updated to take account of the current situation.</p> <p>Consideration is being given to simple, pragmatic ways to facilitate redeployment from non-critical roles into critical service areas.</p>	 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	Ash dieback inspections for 2020 will be restricted due to COVID19. Driven inspections are not possible at the present time, therefore walked surveys will be carried out. This will increase the amount of time required to conduct surveys meaning that routes are likely to only be surveyed once this year.	 Expected to remain red/high
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	<p>Kerbside collected tonnages of residual waste and dry recyclables are around 10 to 15% higher than expected since the beginning of April. However, tonnages of green waste and bulky waste are lower than expected over the same period.</p> <p>The Council is keeping some sites closed which provides more flexibility operationally to manage the increased volumes.</p> <p>Also, commercial waste tonnages are down so there is more availability in facilities nationally in terms of sourcing alternative residual waste capacity/treatment provision.</p>	 Expected to remain red/high
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 and Action Plan was presented to Cabinet (28 April 2020) and will be considered by the Council on 8 July. The Council now has an up to date statement of its environmental priorities and objectives which is aligned with its climate emergency declaration and its framework for action to achieve the commitments on the Council's own carbon emissions and against which its performance can be objectively assessed	 Expected to remain red/high
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 previous	 Expected to remain high/red

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10. Partnerships					
C&FS	10.1	If the Local Authority and its 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	A SEN Support Handbook and guidance on Best Endeavours and Reasonable Adjustments is being produced to provide information on best practice. This will be incorporated into the Local Offer and training will be rolled out. Initial British Educational Research Association (BERA) launch date scheduled for March is being revised due to the Coronavirus outbreak.	 <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.	Removed 1 November 2019 Re-instated 31 January 2020
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

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