













Dept./ Function	CRR Risk No	Risk Description	*Current Risk Score (incl. changes)	Impact of Covid-19 on Risk  July 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					
<b>1. Coronavirus – COVID-19</b>					
All	1	If the Council does not plan, prepare and respond adequately to future developments in relation to both the COVID 19 pandemic and recovery to a “new normal” level of services, it could suffer long lasting economic, environmental, societal and technological challenges and miss opportunities.	20  15/L4	<ul style="list-style-type: none"> <li>• The Cabinet approved a Recovery Strategy outlining the strategic framework for transition and recovery for 2020/21 service delivery in the context of the COVID-19 pandemic. Key recovery themes established and managed by the Crisis Management Group (CMG): <ul style="list-style-type: none"> <li>○ Infrastructure - Ways of Working (Workplace &amp; Wellbeing), Financial Sustainability; Digital Value; Environment &amp; Net Carbon Neutrality</li> <li>○ Community – co-ordinate longer term community, and resilience response</li> <li>○ Economic – longer term including engagement with business, partners, and LLEP</li> </ul> </li> <li>• A cross party Members Working Group has been established to provide high-level direction and political perspective to the County Council’s Recovery Plans</li> <li>• Regular updates are communicated to Members, and the public continues to be informed through the Council’s website.</li> <li>• Regular COVID-19 senior manager briefings continue to be provided as well as health and wellbeing support across the Council, informed by a Council wide survey.</li> <li>• After a thorough planning and monitoring exercise, County Hall has been approved as a covid-19 secure site and some critical staff have been assessed as being able to return so long as they abide by social distancing and personal and workspace hygiene requirements. Locality offices are now being assessed</li> <li>• The Council is working with Leicester City Council, Public Health England and other agencies to respond to the effects of the current local lockdown that affects the City and parts of the county.</li> </ul>	 <p>Expected to remain red/high</p>



**2. 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  15/L5	<p><u>MTFS</u></p> <p>The overall financial impact of the pandemic is significant and remains very difficult to quantify, not least because of the uncertainty around the length of the time the social isolation restrictions will be in place and the impact from the economic recession that we are now in.</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"> <li>• Impact upon Council Tax &amp; Business Rates (£390m budgeted for 2020-21)</li> <li>• Support required to the social care provider market</li> <li>• Changes to services requiring them to operate with social distancing and other protective measures for a prolonged period of time.</li> <li>• Potential pent up demand for services released when schools and work places return.</li> </ul> <p>Some of the financial implications will continue into future financial years. This will impact resources (e.g. lower council tax due to unemployment) and costs (fundamental changes to care practices)</p> <p>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, and costs controlled until delivery can commence</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>	 <p>Expected to increase high/red</p>
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CE	1.3	If the Council fails to maximise developer contributions, then there could be a failure to fund corporate infrastructure projects.	16 I4/L4	No change to previously reported position	 Expected to remain 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 I4/L5	No change to previously reported position	 Expected to remain 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 I4/L5	The programme has had two notable successes in the last three months. The programme plan has been re-baselined, and it is expected that Covid-19 impacts will not lead to delays in the delivery timescales for the programme. There is greater traction and focus from the service areas in delivering the actions required to realise the savings forecast and improve the quality and consistency of SEN provision. A significant range of practice and system changes will be delivered in the next 6 months.	 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 I5/L4	A report is being taken to CMT on 16 July in order that appropriate Departmental Management Team level action is planned.	 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 14/L4	In the first two months of lockdown there were 2 new arrivals, but this position has now changed, with 4 new arrivals in the last month.  Impact of COVID19 on the budget is however low.	 Expected to remain red/high
	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 15/L5	No significant change from previous reported position	 Expected to remain high/red
<b>3. Health &amp; Social Care Integration</b>					
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 14/L4	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
All	2.3	Challenges caused by the Welfare Reform Act 2012 and the Welfare Reform and Work Act 2016.	16 14/L4	The Department for Work and Pensions (DWP) has confirmed that people who are currently shielding as a result of the coronavirus (COVID-19) outbreak will not be eligible for statutory sick pay (SSP) on that basis from 1 August 2020.  The DWP has resumed some review, reassessment and renewal of Personal Independence Payment and Disability Living Allowance	 Expected to remain high/red



				claims. However, face-to-face assessments remain suspended.  As Jobcentres reopen, benefit conditionality and sanctions have been reintroduced.	
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<b>4. ICT, Information Security</b>					
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 15/L4	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) had to be postponed. The revised plan is for Finance to go live in November, with HR following in January.  To reflect current working conditions the programme team are working from home and tools for remote delivery of the user training have been finalised. The programme aims to confirm its ability to deliver a go-live in the remote-working model once the current round of data migration is completed in August.	  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 14/L4	Committee will receive a presentation on the management of this risk at its meeting on 24 July 2020	  Expected to remain high/red

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<b>5. Commissioning &amp; Procurement</b>					
		No risks under this heading			
<b>6. Safeguarding</b>					
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 15/L5	A three-week Public Hearing for the Investigation remains scheduled for October 2020.	 Expected to remain high/red
<b>7. Brexit</b>					
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 1/4/L4	As Government continues to deal with the public health crisis, negotiations on a trade deal have continued. The outcome remains uncertain and in-line with other negotiations it is likely that the final position will not be known until much closer to the deadline. Government has started to release further details on changes after the transition period, with the new immigration system being the most significant.	 Expected to remain high/red

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<b>8. People</b>					
CR (ALL)	7.1	If sickness absence is not effectively managed then staff costs, service delivery and staff wellbeing will be impacted.	16 I4/L4	No change previous reported position	 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 I5/L3	<b>Corporate</b>  No change to previously reported position  <u>A&amp;C</u>  No substantive changes to the previous reported position in the intervening period with mitigation actions continuing.  <u>C&amp;FS</u>  A dedicated resources co-ordinator has now been recruited to streamline social work recruitment and enhance marketing. A refreshed strategy for 2020 will be considered by Departmental Management Team in August 2020.  There is still a continued high reliance on agency workers which maintains the high risk ranking during the COVID-19.	 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 I5/L3	<u>Overall</u>  No substantive changes to the previous reported position the intervening period with mitigation actions continuing. The Council run Inspired to Care recruitment agency available for free to ASC providers is starting to wind down activity with providers picking up more of their own recruitment. The risk direction for both is stable (from the last update) rather than increasing	 Expected to remain high/red

9. 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 15/L3	The Council is, involved through its Local Resilience Forum, LLR Prepared, and its own Crisis Management Group and Resilience Planning Group, responding to the Covid-19 major incident, including the local lockdown in greater Leicester, and planning for economic, community and service recovery	 Expected to remain high/red
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10. 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 15/L3	No change to previous reported position.	 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.	20 15/L4 Increased from 15	Kerbside collected tonnages of household residual waste and dry recyclables remain around 20% higher than expected since the beginning of April; creating operational difficulties which require on-going additional management. Also, tonnages of green waste and bulky waste that were initially low in April have since recovered to be equal to or above pre-Covid 19 rates for June.  The Council is proposing to open all sites now which removes some of operational flexibility to manage increased volumes or staff shortages. Also, commercial waste tonnages are recovering so there is less spare capacity all round.	 Expected to increase high/red
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 15/L3	No change to previous reported position	 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 15/L4	No change to previous reported position	 Expected to remain high/red
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<b>11. Partnerships</b>					
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 14/L4	No change to previously reported position.	 Expected to remain high/red

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 &amp; 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	<p>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.</p>	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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