













Dept./ Function	CRR Risk No	Risk Description	Current Risk Score (incl. changes)	Update Based on risks discussed at department's management teams during December 2020	** Direction of Travel (Residual Risk Score over the next 12 months)
Coronavirus – COVID-19					
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	<p>Detailed actions relating to governance, planning, communication, staff wellbeing and building safety were reported to the 25 November Committee. In addition: -</p> <ul style="list-style-type: none"> • The Council continues to work closely with Leicester City Council, Public Health England and other agencies to respond to the effects of recent and current restrictions in the form of tier designations and national lockdowns. • A programme of Covid-19 testing in the community using rapid lateral flow devices started in early January. • In addition to its £750,000 Covid-19 Business Recovery Grant, the Council is providing financial support, in the form of grants of £1,000 to rural pubs in the county. • Work is underway regarding proposed actions to support local economic recovery. 	 Expected to remain red/high
1. Medium Term Financial 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 Government's focus is on the current Covid crisis and only making single year Spending Review commitments. Need to reassess approach in the new financial year.</p> <p>Initial set of new savings included in the draft MTFS which has been circulated for approval in February. Further efficiency savings identified and included as Savings Under Development for visibility. Delays due to Covid.</p>	 Expected to increase high/red



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				<u>Transformation</u> As well as leading on interim service delivery planning as outlined in paragraphs 7 to 11 in the report, work has begun with departments on the approach to reporting against progress in identifying further savings from April. This should materialise in reports to the Transformation Delivery Board from April onwards.	
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	Planning application numbers have continued to remain stable during the pandemic and this has allowed developer contributions to be secured in S106 agreements. There has been a modest reduction in income as a result of a slow-down in house building, which is typical during an economic downturn. To date, very few requests for deferred payments from housebuilders have been received.	 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.	25 I5/L5	<ul style="list-style-type: none"> • Operational Placement continues to forecast an overspend of £3 million • End of November had 693 children in care which is a continually increasing number and slightly above the projected figure • For certain placements, current average weekly costs continue to be considerably higher than MTFS assumptions: - <ul style="list-style-type: none"> ○ 16 Plus (40%) ○ Independent Fostering Agency (3%) 	 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.	16 I4/L4	Consultants have had oversight of the High Needs Block (HNB) plan and whilst offering some inclusions have stated the plan is comprehensive <ul style="list-style-type: none"> ○ the deficit position has been clearly articulated across the piece ○ The HNB programme will change form to ensure performance and quality are being managed (with the programme and the service) and new practice is adopted in the New Year ○ The programme will be focusing on the commissioning lifecycle, ISP's, banding and intervention funding, Post 	 Expected to remain high/red




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				16&FE <ul style="list-style-type: none"> ○ Quality Assurance is now running its second cycle having adopted lessons learned in the first wave ○ The new EHCP template will be launched within the service by New Year 	
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 15/L4	Work to understand the quantum of risk has progressed well, and there is more awareness and transparency in relation to the basis of engagements. Further work is needed to ensure continued compliance with the IR35 process. Additionally, work has commenced with maintained schools to verify the nature of engagements and to ensure that they comply with the regulations.	 Expected to remain high/red
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 (reduced) from 25	Increase of 1 new spontaneous arrival and 2 UASC through the National Transfer Scheme. Although there were costs covered in this arrangement, there have been additional costs including age assessment and clothing which was not anticipated. The isolation bed is still being commissioned which remains an additional cost. Whilst the number of Looked After Children and Care Leavers (CLs) is quite steady, the adults (who were previously CLs) with no recourse to public funds because they don't have a Home Office (HO) Decision, is high (now over 30). The delay in the HO is due to COVID19 which has impacted on staff and how the HO administers its business. This means LCC remains financially responsible for all 30+, with no clear timescale for when this will be cleared.	 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 15/L5	The financial risks remain high and an Infrastructure Policy is being developed. This is intended to form the basis for formal legal agreements with district councils and developers designed to share the financial risks associated with delivering infrastructure	 Expected to remain high/red




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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 14/L4	NHSE published a consultation document on the development of Integrated Care Systems, however local focus in the short term is on managing demand due to the Pandemic rather than longer term strategic development	 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	In response to the announcement of a third national lockdown in England jobcentres will remain open only for those who need extra support and are 'unable to interact on the phone or digitally. Social entitlement tribunals appeal hearings will be held remotely as the default option. The DWP has re-introduced the 'Failure to Attend' (FTA) process for personal independence payment (PIP) claimants who miss their telephone assessment without good reason.	 Expected to remain high/red
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 15/L4	Both Finance go-live and the first cohort of external schools/academies (CH-1) Go-live have been completed successfully. There have been some initial 'teething issues' but most of them have been resolved and the rest are also being addressed. For CH-1, there are some open issues still impacting certain reports and self-service functionality which we're working with Oracle to resolve.	 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	16 14/L4	One Senior Leadership Team training session completed. Remaining 5 postponed due to COVID19. Awaiting confirmation of extension on use of funding from LGA.	




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		of a successful cyber-attack.		<p>Cyber incident response plan in place and aligned with I&T Major Incident Plan. Incident response exercise with I&T management scheduled for Jan 2021</p> <p>Review of backup procedures and controls underway to identify areas for improvement and opportunities for strengthening defences.</p> <p>Cyber Essential Certification Scheme – work planned for Q1 2021 to begin GAP analysis of certification requirements.</p> <p>Preparations being made for PSN certification submission in January 2021.</p>	 Expected to move to Medium/Amber

4. Commissioning & Procurement

E&T	4.2	If Arriva is successful in its concessionary travel appeals and the method of apportioning between the City and the County is changed then reimbursement costs for the total scheme could increase.	15 15/L3	<p>The previous detailed update informed that Leicester City Council was disputing the methodology applied by LCC's consultants to determine the apportionment between the parties, which could lead to a risk of increased (proportionate) cost to the County.</p> <p>Prior to the third national lockdown, concessionary travel usage had risen to a third of the pre-covid level (previously reported a fifth) but the Council continues to be urged by government to continue payments to operators at pre-covid levels.</p>	 Expected move to Medium/ Amber
E&T	4.3	If as a result of the impacts of the coronavirus pandemic bus operators significantly change their services, then there could be substantial impacts on communities accessing essential services and lead to required intervention under our Passenger Transport Policy and Strategy.	20 NEW 15/L4	May be required to undertake holistic review of the impact of covid on the bus market.	 Expected to remain high/red

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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 15/L5	The Inquiry is now complete, and the report will be published October 2021.	 Expected move to Medium/ Amber
6. Category retired					
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 14/L4	Since the start of the pandemic, sickness absence levels have consistently reduced, even when taking into account COVID-19 related absence. However, this is being closely monitored given the extent of Covid cases and the fast spread of the virus. 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.	 Expected move to Medium/ Amber
All	7.2	If departments are unable to promptly recruit and retain staff with the right skills and values and in the numbers required to fill the roles needed, then the required/expected level and standard of service may not be delivered, and some services will be over reliant on the use of agency staff resulting in budget overspends and lower service delivery.	16 14/L4 15 15/L3	<u>A&C</u> Whilst recruitment is in progress the Department is unlikely to fill posts at the relevant skill levels which will impact on induction and training support needs within teams. The Department is also aware of an increase in leavers due to early retirement. <u>C&FS</u> Have filled some key posts and the number of vacancies have reduced significantly. However, there are risks relating to agency: - - availability of suitable agency	 Expected to remain high/red

				<ul style="list-style-type: none"> - can leave at any time/turnover - in competition both regionally and nationally to offer incentives or higher pay scales to attract - difficulty in attracting staff to one particular locality team (borders other authorities that pay higher salaries). Recruitment is particularly challenging, and therefore the reliance on agency staff is more evident. From December practice excellence team are going to work intensively with that team for team working, building relationships. <p>Progress – steady increase, turnover rate reduced, number of experienced agency staff apply and being successful recruited to posts. ASYE's delay - and not starting until Jan/Feb 2021.</p>	
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A&C	7.3	If the Department fails to develop and maintain a stable, sustainable and quality social care market to work with it may be unable to meet its statutory responsibilities.	20 14/L5 (Increase from 15)	Additional concerns that EU exit decisions may negatively impact on the care market	 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 15/L3	Services have reviewed and updated their Business Continuity plans. The score remains high reflecting the combined effects of winter, covid and any potential issues from EU exit.	 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.	20 15/L4	Results of the 2020 surveys indicate that levels of ash dieback are higher than in previous years. The ash dieback board are leading on coordinating the response	 Expected to remain red/high

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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	Following on from the previous detailed update, the waste transfer stations infrastructure issues have required the use of contingency facilities to maintain disposal sites for waste collection authorities. Additionally, planning permission has been granted for the proposed waste transfer station at the Bardon site; this will assist in mitigating this risk in the medium term.	 Expected 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 15/L3	An updated Environment Strategy and Action Plan was agreed by the Council on 8 July 2020. 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. The current risk score has been reduced from 15 to 12 and the and the risk will continue to be monitored through the E&T Dept Register.	 Expected 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	16 14/L4	No change to the previously reported position	 Expected to remain red/high

10. Category retired

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 possible, since it would show an already high scoring risk is likely to be greater.

RISKS REMOVED SINCE JULY 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

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
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	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
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

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
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
All	6.1	EU Transition – If a formal trade agreement between the UK and EU is not in place at the end of the transition period, the UK will be treated by the EU as a third country. Trade arrangements will differ, and goods will be subject to full third country controls and a variety of border checks.	16	The Assistant Chief Executive is satisfied that the risks identified in the Reasonable Worst-Case Scenario did not materialise on transition as the UK and EU reached a trade deal	29 January 2021
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	The context of this risk is deemed to be covered within corporate risk 1.6 - 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.	29 January 2021

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