














Dept./ Function	CRR Risk No	Risk Description	Current Risk Score (incl. changes)	Update Based on risks discussed at department's management teams during April 2021	** 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 29 January Committees. In addition: -</p> <ul style="list-style-type: none"> The Council is working closely with the Local Resilience Forum, Leicester City Council, Rutland Council, the district councils, the Police, the NHS, Public Health England and others to respond to and support the Government's roadmap for easing restrictions, the vaccination programme, testing, and the planning for recovery. Plans are also being developed and put in place for the Council's own organisational recovery taking account of the Government's roadmap and the local situation regarding Covid19 cases. The Council's Crisis Management Group and Resilience Planning Group continue to meet regularly (fortnightly and weekly respectively) to actively manage the Council's response and recovery priorities. Since March 2020, many changes were made to the Council's services as part of responding to the Covid-19 pandemic. Work is underway seeking to identify changes made over the last year that require some form of post event engagement or consultation 	 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, legal challenges and importantly demand/cost	25 15/L5	<p><u>MTFS</u></p> <p>New lead MP identified for Leicestershire and Members supporting revised approach to lobby for fair funding, including additional focus on capital funding.</p> <p>The Council is continuing to benefit from multiple funding streams, but these will gradually cease, and departments will need to</p>	 Expected to remain high/red



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		pressures especially those arising in Adults and Children's Social Care.		<p>manage a return to pre- Covid-19 funding levels. A Covid-19 budget has been established to help manage the transition. Critical services and the NHS will be directly impacted.</p> <p><u>Transformation</u></p> <p>The Transformation Unit has recently undertaken a review of its structure and operating arrangements. As a result of this, a closer connection with Departments to support the discovery of new savings opportunities will be 'live' from 1st July, reported through Departmental Management Teams. In preparation for this, a renewed focus on the progress of existing MTFs savings, alongside progressing the Savings Under Development, is planned to provide assurance to the Transformation Delivery Board and Members from end of June 2021.</p>	
CE	1.3	If the Council fails to maximise developer contributions, then there could be a failure to fund corporate infrastructure projects.	16 14/L4	<p>Requests for developer contributions towards the County Council's infrastructure has increased over the past few months. Contributions in February and March 2021 have hit record levels, exceeding £20million. This is partly because the District councils are receiving a lot of speculative planning applications but is also an indicator that the new homes market is improving.</p> <p>No requests for deferred payments have been received during this quarter.</p>	 Expected to move to Medium/ Amber
C&FS	1.5	<p><u>Social Care:</u></p> <p>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.</p>	25 15/L5	<p>Number of children in care has increased to 700 (from 693).</p> <p>The increase is within the department's projections based on the Council's annual increases of Looked After Children (LAC) and those of comparator authorities. Despite this expected increase, the Council still has a low LAC number/10000.</p> <p>Current work in relation to Defining Children Services has a focus on a placement stream to reduce numbers in residential care and increase both mainstream and specialist carers, which will in the long term have a positive impact on MTFs spend.</p>	 Expected to remain high/red



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C&FS	1.6	<u>Education</u> If demand for Education Health and Care Plans (EHCP) continues to rise, and corrective action is not taken, there is a risk that the high needs deficit will continue to increase.	25 15/L5 (Increased from 16)	<p>Demand remains high around EHCP requests and for Independent placements. Uncertainty remains on the impact of Covid-19 and central government Special Educational Needs review is still pending.</p> <p>Service restructure delivering clear responsibilities and accountabilities, with revised processes and a clear CPD roadmap. Continued learning through the Quality Assurance and Learning Framework, feeding into the quality improvement cycle. New practice regarding the multi-disciplinary 'front door' triage process and a fit or purpose Independent Specialist Provider placement process.</p> <p>Intervention funding, transitions and health contributions continuing to develop as work in progress.</p>	 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 15/L4	<p>Systems introduced in August 2020 are embedding. Status of new suppliers is checked before payments are made and the Commissioning Support Unit are engaged with a Compliance Lead on IR35 matters. IR35 has been included in guidance on spending controls. Monthly IR35 returns are being sent by departments. Work is continuing on off contract agency spend. Work is continuing to identify any outstanding office holders who may be subject to the legislation. An external review of our policies and processes is to be commissioned to identify any areas for further improvement.</p> <p>It is acknowledged that IR35 is difficult to police and an acceptance that the Council may not capture all cases.</p>	 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 14/L4	Increase of 4 spontaneous arrivals. C&FS are working with the National Transfer Scheme for further transfers to be considered, Although this is a high, the arrivals over the year remains fairly constant.	 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 15/L5	<p>Governance to oversee capital investment in growth projects (Growth Delivery Board and the Growth Unit Steering Group).</p> <p>New governance and resources to support s106 process.</p> <p>The financial risks remain high. Consultation on a County Council Infrastructure Policy closed on 30 April 2021.</p> <p>The policy promotes closer and earlier collaboration between District Councils and the County Council to help ensure local plan delivery and reduce/share the financial risk associated with the delivery of enabling infrastructure.</p> <p>A consequence of more activity is that it will be harder to manage and a corresponding increase in contributions means more work.</p>	 Expected to remain high/red
2. Health & Social Care Integration					
All	2.3	Challenges caused by the Welfare Reform Act 2012 and the Welfare Reform and Work Act 2016.	16 14/L4	<p>The Universal Credit managed migration pilot has been delayed until April 2022.</p> <p>Various Covid-19 related easements relating to Employment and Support Allowance and Jobseeker's Allowance have been extended to 31 August 2021 and 12 November 2021 respectively. Face-to-face appointments at Jobcentres recommenced on 12 April 2021.</p> <p>The Universal Credit uplift (£20 per week) has been extended for a further six months to the end of September 2021 and a one-off £500 payment has been made to people with an award of Working Tax Credit.</p> <p>The restriction on people in receipt of the severe disability premium claiming Universal Credit was lifted on 27 January 2021.</p>	 Expected to remain high/red



Dept./ Function	CRR Risk No	Risk Description	Current Risk Score (incl. changes)	Update Based on risks discussed at department's management teams during April 2021	** 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	15 15/L3 (Reduced from 20)	<p>The Finance module has now been successfully working for over 5 months and with the financial year end (2020-21), this should enable the transition to the 'business-as-usual' stage. The aim is to continue to identify opportunity areas and continuously improve the functionality and performance of the system. The programme benefits would also continue to be tracked.</p> <p>The HR module went live on 26th April 2021, and issues are being monitored and reported as part of post go-live support. Since go-live, no significant issue has been reported but an enhanced level of support will be maintained for the next few weeks with the expectation that the HR module will also stabilise over next 3 months.</p> <p>It is anticipated that the primary risk of business disruption and delays to now significantly reduce as the key modules are now live. The only remaining functionality to go-live is the HR modules for the East Midlands Shared Service's external customers and Nottingham City Council (as a partner in EMSS).</p>	 Expected to move to Medium/Amber
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	<p>The Local Government Association Cyber Security Programme (coordinates the allocation and monitoring of funds) advised that an extension had been granted until December 2021. One Senior Leadership training session has been completed and the remaining five are to be re-scheduled.</p> <p>Incident response exercise with Information & Technology management carried out in January 2021. Areas for improvement identified – these have been prioritised and assigned owners. A further exercise is planned for later in the year.</p> <p>PSN certification submission sent to Cabinet Office on 25th February. Full assessment expected to take several weeks.</p>	 Expected to move to Medium/Amber

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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	Leicester City Council has appointed a consultant to look into the County Council's apportionment methodology. Note: The previous detailed update informed that Leicester City Council was disputing the methodology applied by the County Council's consultants to determine the apportionment between the parties, which could lead to a risk of increased (proportionate) cost to the County	 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 15/L4	<p>This risk will be presented to the Committee at its meeting on 4 June.</p> <p>This risk is associated with the impact of Covid-19 on the bus market.</p> <p>There is a plausible scenario that passenger transport usage levels do not return to pre Covid-19 levels. The Government has published (March 2021) Bus Back Better: a national bus strategy for England which outlines reform of how bus services are planned and delivered. The strategy sets out how the Government wants every local transport authority and bus operator to be in a statutory enhanced partnership or franchising agreement.</p> <p>The developing partnerships will need to produce robust Bus Service Improvement Plans by the end of the October 2021. The plans should set out a roadmap to better services for passengers and communities, urban and rural and be fully informed by local needs. Future government financial support (Covid-19 Bus Service Support Grant, Business Services Operator Grant, and other funding) will depend on compliance to the national bus strategy</p>	 Expected to remain high/red

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				<u>Update Continued</u> E&T is taking steps to review and understand implications of national bus strategy, including: - <ul style="list-style-type: none"> • an assessment of feasibility and costs in meeting the deadlines and required actions set out • liaising with Leicester City Council to understand their approach • an assessment of the suitability of the County Council's Passenger Transport Policy and Strategy • wider agendas, such as social and economic inclusion and de-carbonisation • alternative approaches 	
CE/CR	4.4	Risk of challenge and/or financial penalty due to either an actual or perceived breach of procurement guidelines.	16 NEW I4/L4	The exposure is higher is due to the external environment having a more litigious approach to procurement due to financial challenges post Covid-19.	 Expected to remain high/red
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 I5/L5	IICSA has given notice that it will shortly be sending warning letters to those individuals or organisations who may be criticised in its report on 'Institutional responses to allegations of child sexual abuse involving the late Lord Janner of Braunstone QC [EXT]'. Generally, any individual or organisation who receives a warning letter will be given approximately two weeks to provide a response. The purpose of the notice is to arrange that adequate resources are in place to respond to any letter that may be sent.	 Expected move to Medium/ Amber

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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	<p>Since the start of the pandemic, sickness absence levels have consistently reduced, even when taking into account COVID-19 related absence. Mental health absence is still similar to previous years. From the research undertaken, reductions in absence are due to social distancing rather than working from home. The gradual easing of social distancing will enable a better understanding of the impact on the risk. The Council's target of 7.5 days per FTE is close to being met.</p> <p>As the Council moves through recovery and adopts a new operating model, the impact on sickness absence needs to be closely monitored. Staff wellbeing and good mental health remains high on the agenda, and a recently created wellbeing board will focus on a targeted wellbeing offer, including sharing good practice.</p>	 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	<p><u>A&C</u></p> <p>Additional measures are being implemented but it is too early to see any effect. Adult Social Care pathway has Departmental Management Team agreement to use a range of tools regarding recruitment e.g. relocation package. Progression model to be explored as part of an establishment review. The underspend for Direct Services to be used to look at how Inspired to Care support recruitment of Community Rehabilitation Service /Home First staff</p> <p><u>C&FS</u></p> <p>Progress continues to be made on recruitment and retention. with positive recruitment during the pandemic. However, there are a number of key posts that require recruitment. Agreed a time limited resource to support the stabilising and recruitment to permanent posts at Wigston but there does remain a risk to the Council and a particular risk to that locality. Recruitment remains an issue nationally.</p>	 Expected to move to Amber /Medium

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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	<p>The Department for Health and Social Care has confirmed additional funding in mid-March 2021 beyond 31 March 2021, although details yet to be received.</p> <p>Funding of additional PPE requirements beyond the end of free PPE portal entitlement is open until March 2022.</p> <p>Residential fees uplift for 2021/22 has been determined on the basis of the Cabinet fee review approach, with Covid-19 costs to be considered separately in the light of government funding announcements.</p> <p>Although A&C has robust arrangements in place to proactively work with providers to prevent, foresee and mitigate instability and failure, during winter 2020/21 it had to intervene in several provider failures or severe instability.</p> <p>The position for most appears to have been COVID-19 related – CQC concern about infection prevention, and vacancies caused by deaths or insufficient new residents to remain stable.</p>	 Expected to move to Amber /Medium
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	No change to the previously reported position.	 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	No change to the previously reported position.	 Expected move to Medium/ Amber

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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 update, demand for all County Council services remains very high both directly at the Recycling and Household Waste Sites and through the volumes being collected at the kerbside by the Districts. The waste transfer stations infrastructure issues are still requiring the use of contingency facilities to maintain disposal sites for the Districts. Repair work at the Whetstone Transfer has been completed and the facility has been re-opened.	 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	Climate Change Risk Registers are being reviewed and will be presented to the Environment Strategy Delivery Board for consideration in May. Mitigation measures will be identified as part of the Climate Change Risk Register review that will seek to the reduce impact on the Council services.	 Expected move to Medium/ Amber
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
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

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

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
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 I5/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.	29 January 2021
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 I4/L4	Existing risk is obsolete and has been replaced by new risks which will be monitored in via the A&C, PH Departmental Risk Registers. These new risks are currently rated Amber.	4 June 2021

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