













Dept./ Function	CRR Risk No	Risk Description	Current Risk Score (incl. changes)	Update Based on risks discussed at department’s management teams during September 2021	** Direction of Travel (Residual Risk Score over the next 12 months)
Coronavirus – COVID-19					
All	1	If the Council does not on an ongoing basis plan for, prepare and respond to current and future consequences of the COVID 19 pandemic, the Council and its communities could suffer long lasting economic, environmental, societal, technological challenges and missed opportunities.	20 15/L4	<p>The risk has stabilised, if not actually reduced. The Council has not had supplier issues or large scale staff absences due to the success of the vaccination roll out. The situation continues to be monitored in case of an uptick over the winter period as flu and other infections spread due to the move to being indoors, and also due to the national restrictions being stood down so that people are mixing more. Adult Social Care could have an issue with supplier failure if staff refuse to be vaccinated in care homes, but the Council is confident that it and its external care home providers are planning appropriately for the deadline of 11 November (when Government regulations come into force).</p> <p>The level of risk is continually monitored by the Resilience Planning Group (RPG) and Corporate Resources to assess risk to staff and customers and reported to the Council’s Crisis Management Group (CMG), however this is effectively being managed as business as usual by Departments due to the longevity of the incident and the ‘new normal’ that Covid has become. The relaxation of restrictions and any possible impact on staff from new and hybrid ways of working will be closely monitored for local effects as well as any changes to guidance from Central Government.</p>	 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 pressures especially those arising in Adults and Children’s Social Care.	25 15/L5	The MTFS process has started with a report to Cabinet in September. Growth, savings and capital expenditure proposals will be developed over the next few months with a view to producing a draught report in in December. The expectations are this budget round will be extremely challenging due to the difficulty in national finances but also because of the local position with the consequences of the Covid pandemic	 Expected to remain high/red



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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 15/L5	Reduction in numbers of children in care 675 (from 700). However, it is recognised that the care population is volatile to change.	 Expected to remain high/red
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	<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.</p> <p>Continued learning through the Quality Assurance and Learning Framework, feeding into the quality improvement cycle.</p> <p>New practice regarding the multi-disciplinary 'front door' triage process went live in the middle of June and a fit for purpose Independent Specialist Provider placement process.</p> <p>Intervention funding, transitions and health contributions continuing to develop as work in progress</p> <p>Further work underway around Moderate Learning Difficulties places</p> <p>The risk is placing direct pressure on the Council's budget in terms of transporting SEN children</p>	 Expected to remain high/red


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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 to seek to reduce off contract agency spend, to identify any outstanding office holders who may be subject to the legislation, and there is direct engagement with HMRC as required. An external review of our policies and processes has been commissioned to identify any areas for further improvement.</p> <p>IR35 continues to be a difficult area to manage because companies can have all sorts of different kinds of structures and mechanisms which are individual to them and their understanding. There is an acceptance that the Council may not capture all cases</p> <p>There is continuing publicity about organisations incurring HRMC fines. The varied nature of the different financial approaches requires that a range of up front and retrospective checks are in place and we will continue to develop these and work with HMRC as appropriate.</p>	 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	Have taken on 3 emergency placement UASC and 5 from the National Transfer Scheme. Also continue to have spontaneous arrivals that we have to manage. Whilst there is a structure and framework through the NTS our spontaneous arrivals are volatile.	 Expected to move to Medium/Amber
CE	1.11	If Freeport designation is not achieved there will be serious reputational consequences for the East Midlands region and partners in the Freeport proposal.	16 14/L4	<p>At this point, Freeport designation is expected in 2022, with tax site designation earlier. An Outline Business Case (OBC) was submitted to the Government as required by 10 September. The Full Business Case (FBC) is on target to be submitted by the deadline of 10 December 2021. Governance and management arrangements will be addressed in the FBC.</p> <p>There is an associated financial risk around the recovery of costs incurred in a setting up the Freeport which are assumed to be repaid from business rate growth. This process is being managed.</p>	 Expected to move to Medium/Amber



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CE	1.12	If the Council fails to maximise developer contributions by shaping local plan policies, negotiating S106 agreements and pro-active site monitoring, then there could be a failure to secure funding for County Council infrastructure projects (such as transport and schools).	16 14/L4 (New)	The risk should begin to reduce in early 2022 as new improvements become embedded	 Expected to move to Medium/Amber
2. Health & Social Care Integration					
C&FS A&C PH	2.4	If the Council and its partners do not deliver a sustainable health and social care system (adults, children and public health) which results in vulnerable people not having their health and social care needs met, there is a potential that increased demand on social care services will lead to the escalation of vulnerable people's needs.	16 14/L4	A&C There has been a significant growth in demand across the health and care system over the course of the year. NHS urgent and emergency care, ambulance services and elective care services are facing pressure due to increased numbers of people presenting for treatment alongside the remaining response to the COVID pandemic. This pressure on hospital services creates increased demand for community and social care services which is resulting in delays to people being discharged from hospital and increased waiting times for social care provision. The growth in service demand is reflected in increased costs to both the NHS and Local Authority which are mitigated to some extent through additional short term government funding, but which are not accounted for on a recurrent basis. Other mitigations taking pace include the ongoing development of the Integrated Care System and improved system governance arrangements together with a review of current and future joint working requirements C&FS Work taking place to develop governance structures for children's health at system and place.	 Expected to remain high/red




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3. ICT, Information Security					
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	PSN certification renewed in full This is an area where we will continually need to invest in further and stronger controls	 Expected to remain high/red
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	Work on County Council's apportionment methodology is ongoing.	 Expected to 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	The Bus Service Improvement Plan (BSIP) is being developed and will be presented to Cabinet for approval on 26th October. Subject to approval the BSIP and the Enhanced Partnership Plan (EPP) will be published at the end of October, followed by consultation with operators in November and the public in December. A formal EPP is to be in place by April 2022. The Council is currently complying with the steps as set out in the Governments National Bus Strategy (NBS), which will assist in mitigating this risk.	 Expected to remain high/red



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CE/CR	4.4	Risk of challenge and/or financial penalty due to either an actual or perceived breach of procurement guidelines.	16 I4/L4	Initial procurement pipelines developed, ongoing update and review now BAU. In recognition of an increasing nature of challenges by unsuccessful bidders, Internal Audit will undertake some work on processes and controls	 Expected to remain high/red
5. Safeguarding – category retired					
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 I4/L4	<p>CR - Since the start of the pandemic, sickness absence levels have consistently reduced, even when considering COVID-19 related absence. Mental health absence is still similar to previous years. From the research undertaken, reductions in absence have been due to social distancing rather than working from home. The gradual easing of social distancing is enabling a better understanding of the impact on the risk. The Council's target of 7.5days per FTE was close to being met in March 2021.</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 is focusing on a targeted wellbeing offer, including sharing good practice.</p> <p>Due to a number of technical challenges with the new Oracle Fusion system, it has not been possible to report yet at a corporate or departmental level on absence levels since April 2021, but individual cases are still being actively managed. An exercise is underway to re-establish missing work pattern data in Fusion in order to be able to accurately report absence data</p> <p>C&FS - There has been an increase in sickness in some parts of the service, which is putting more pressure on capacity and has required an increase in use of agency staff for example in our First Response services. Recovery planning is being progressed in line with corporate colleagues.</p>	 Expected move to Medium/ Amber

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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.	<p>16</p> <p>I4/L4</p> <p>15</p> <p>I5/L3</p> <p>20</p> <p>I4/L5</p> <p>20</p> <p>I4/L5</p>	<p><u>A&C</u></p> <p>Risk score and RAG rating unchanged. Particular issue for qualified staff and direct services. Lead practitioners leading on work to understand why we are unable to recruit/retain staff. ITC helping to recruit direct services staff. Linked to outcome/ finalisation of establishment review</p> <p><u>C&FS</u></p> <p>Focus on recruitment and retention continues to be a priority. A group has been established to focus on retention identifying opportunities to retain the most experienced social workers by exploring changes to the senior practitioner grade.</p> <p>The group is also looking at culture and developing an 'offer' to the workforce mirroring the values and behaviours in the road to excellence.</p> <p>The Department's use of agency to cover vacancies and hard to recruit posts continues to be a challenge</p> <p><u>E&T</u></p> <p>Struggling to recruit for most vacancies. Volume of applicants has reduced. Higher rate of candidates not turning up for interview. Lower rate of applicants being shortlisted. Current hard to fill vacancies across a number of posts.</p> <p><u>CR</u></p> <p>Targeted work to address specific department recruitment issues (HGV recruitment; Social workers; Catering and School Food).</p>	<p style="text-align: center;">  Expected to remain high/red </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 (Increased from 16) I4/L5	<p>Due to the impact of COVID19 on the social care market and the increase in demand for social care services, the local care market is stretched both in respect to capacity to deliver and financial sustainability. Domiciliary care services have delivered an additional 5,000 hours per week of home care since the start of the pandemic; however services are now running at maximum capacity. The Council has received over 150 packages of care returned from providers over recent weeks due to inability to continue to deliver care. There are currently 200 people awaiting new home care provision or a change to existing provision. Residential care services and supporting living services are struggling to recruit sufficient staff to fulfil their bed capacity and maintain care for existing residents</p> <p>Leicestershire continues to have a fragile workforce with higher than average levels of turnover and high vacancy rates. In addition the impact of mandatory vaccination of care home staff presents a further risk to the existing workforce.</p> <p>The Council is working with providers to maximise the care available and is preparing for the implementation of the new Home care framework which will seek to expand the capacity of the market to respond to identified needs</p>	 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 I5/L3	See emerging risks and issues (paragraph 6 of report)	 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	20 15/L4	Awaiting results of the 2021 survey	 Expected move to Medium/ Amber
E&T	9.2	If there was a major incident which results in unplanned site closure (e.g. fire) then the Council may be unable to hold or dispose of waste.	20 15/L4	The demand for all County Council waste disposal, recycling and treatment services remains higher than at pre-covid levels. Since the booking system removal visitor numbers at the Recycling and Household Waste Sites have noticeably increased and this has caused some disruption to service users with the additional pressure of on-going staff shortages. The waste transfer station infrastructure is still under pressure and plans are underway for the use of contingency facilities this year to maintain disposal/treatment capacity for the Districts. Construction of the Bardon site is now underway.	 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	20 14/L5 (Increased from 16)	Climate change risk registers have been reviewed and a report was considered by the Environment Strategy Delivery Board in September. A report will be presented to the Environment and Climate Change Overview and Scrutiny Committee in January. Committee on Climate Change's 3rd Climate Change Risk Assessment (June 2021) concludes climate change is here, already dangerous and will get worse and the UK needs to prepare for coming changes to protect people, economy and the environment. Mitigation measures identified as part of the Climate Change Risk Register review will seek to reduce the impact on Council services.	 Expected to remain high/red
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 NOVEMBER 2019

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

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
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
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.	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 14/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

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
All	2.3	Challenges caused by the Welfare Reform Act 2012 and the Welfare Reform and Work Act 2016.	16 14/L4	This will be managed at department level.	5 November 2021
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	Merge two similar individual risks into one owned by the Head of Planning, Historic and Natural Environment.	5 November 2021
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.	16 14/L4 (Reduced from 25)	Merge two similar individual risks into one owned by the Head of Planning, Historic and Natural Environment.	5 November 2021
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	The system is live and although some teething problems remain these are being worked though and the risk will remain in the Department's register.	5 November 2021

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
C&FS	5.1	Historical: 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 has not identified any new issues or concerns for the council; The historic areas of concern referred to in the report are all known to LCC.	5 November 2021

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