








CORPORATE RISK REGISTER – UPDATE ON RISKS




APPENDIX



Dept./ Function	CRR Risk No	Risk Description	Current Risk Score (incl. changes)	Update Based on risks discussed at department’s management teams during March 2022	** Direction of Travel (Residual Risk Score over the next 12 months)
Coronavirus – COVID-19					
All	A	<p>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.</p> <p>Note: consideration will be given re-defining this risk into short and longer term impacts for the September 2022 committee</p>	20 15/L4	<p>The level of risk is continually monitored by the Resilience Planning Group (RPG) to assess risk to staff and customers and reported to the Council’s Corporate Management Team (CMT). A Crisis Management Group (CMG) has recently been stood down following the ending of restrictions by the Government but can be stood back up at short notice if the RPG monitoring highlights issues of substantial concern.</p> <p>Services provide regular updates on staffing levels and where required the response to this is addressed through business continuity plans. The Council provides regular service updates on its website.</p> <p>The LLR Strategic Coordinating Group has recently been stood down, but the impact of the virus is continuously assessed and if necessary, the SCG can be stood back up.</p>	 Expected to remain red/high
Russian invasion of Ukraine					
All	B	<p>If the implications of the Russian invasion of Ukraine are sustained, then the County Council and Leicestershire as a whole will be significantly impacted.</p>	16 14/L4 NEW	<p>Homes for Ukraine Scheme impact</p> <p>The humanitarian tragedy that has unfolded in the Ukraine following the Russian invasion led the UK Government to respond nationally to assisting the refugee situation. The Homes for Ukraine Scheme supports people to sponsor Ukrainian refugees (guests) to live with them for a minimum of 6 months.</p> <p>The arrival of guests will add significant pressure on public services. Additional support is required from adults and children’s services impacting on budgets. There’s a key role for LA’s in co-ordinating the scheme locally and there would likely be reputation damage if seen to be not assisting with guests</p>	 Expected to remain red/high



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				<p>Some issues that have arisen so far: -</p> <ul style="list-style-type: none"> • Increased demand on already strained resources • Poor data quality about sponsors, guests, visas etc • Unclear government guidance especially funding • Have had to support guests presenting under the Family Visa Scheme but no explicit co-ordinating role for LA's, no data nor funding provided • Supporting the scheme to avoid failing e.g. homelessness • Supporting guests, sponsors and staff suffering mental health/trauma • Translation services are very limited • Seeing an increase in unaccompanied children • Some accommodation simply not fit for purpose • Controlling payments, avoiding fraud and managing costs <p>In a short period of time the County Council has: -</p> <ul style="list-style-type: none"> • Chaired strategic and operational groups co-ordinating the County Council with the districts and Rutland Council, and is the communications lead • Lead on data co-ordination, cleansing, sharing and input • Undertook DBS/safeguarding checks and ongoing support • Made payments to guests and sponsors • Arranged education and other service referrals <p>Operational support to the Scheme will be continually monitored and changes applied following any further Government guidance. Any Council insurance liability issues within the Scheme will be identified and mitigated.</p>	



Dept./ Function	CRR Risk No	Risk Description	Current Risk Score (incl. changes)	Update Based on risks discussed at department's management teams during March 2022	** Direction of Travel (Residual Risk Score over the next 12 months)
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 I5/L5	<p>It is difficult for the Council to manage in light of existing savings challenges, restrictions on council tax income and continuing service pressures. Inflation was already a problem, but the Ukraine invasion has exacerbated the issue and has already led to: -</p> <ul style="list-style-type: none"> • Supply chain disruption • value of investments • Increased costs of commodities and energy which will drive inflation <p>An interim agreement has been reached with the CCG to continue to fund Discharge to Access (D2A) for the first quarter of 2022/23 whilst a longer term position can be agreed – this will amount to around £1.2m for the quarter. A business case is in development to determine where the NHS should be providing additional funding to support social care.</p>	 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	<p>Continues to fluctuate with an increase in placements from 689 (Q3) to 701.</p> <p>Work with Defining Children's Services is now embedded where focus is on clear trajectories for children in residential care and preventing unnecessary residential care. The full impact of this work will continue to develop. Our overview of fostering pipeline and utilisation provides a robust oversight for us to ensure that we are using internal resources where possible</p>	 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	25	A full scale review of the programme has continued, with the full diagnostic report and its findings in the process of being shared across CFS; the findings point to considerable challenges within the whole SEND system impacting both pupil numbers and cost, which in turn requires us to give proper consideration to how the	


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		risk that the high needs deficit will continue to increase.		<p>next iteration of the programme is designed. Consideration is also being given to the need for a third party design and implementation partner, aimed at providing the programme with pace, capacity and external challenge. Some initial agreements to provide additional internal resource to the programme have been secured and recruitment processes are in progress. Initial project and workstreams for the programme have been scoped, and a high level timeline assumes set up activity for the next phase to commence early May, with immediate actions centred around building change readiness within the service through both recruitment to key programme posts, and engagement work with teams to build morale.</p> <p>The Council has been invited to participate in the DfE Delivering Better Value in SEND (DBV) programme.</p>	 Expected to remain high/red
CR	1.7	If the Council is not compliant with the HMRC IR35 regulations regarding the employment of self-employed personnel, then there is a risk of large financial penalties	20 I5/L4	<p>The Council declared an error to HMRC and made payment on account, but HMRC could charge interest. The tax specialists PSTAX will advise on a managed disclosure on historical issues regarding previous status decisions.</p> <p>PSTAX has mapped out a Phase 2 with strands that will provide advice and support and strengthen procedures</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 I4/L4	<p>Continuing to see numbers throughout the dispersal hotels. Average via the NTS spontaneous is 5 UASC per month approximately. These are likely to increase as the weather gets better and likely to see more spontaneous arrivals.</p> <p>A dedicated cost centre has been set up to monitor any Ukrainian impact.</p>	 Expected to remain high/red



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CE	1.11	If transition to the operational stage were not enabled, taking account of financial, governance, HR and other considerations, the County Council would not be fulfilling its role as lead authority and accountable body for the East Midlands Freeport.	15 15/L3 (decrease from 16)	<p>The Freeport Full Business Case was submitted to Government by the due date of 14th April. That followed tax site designation by HM Treasury in March. Full designation is expected in the summer depending on legislative timetables.</p> <p>The Cabinet on 26th April approved the County Council becoming a member of the Freeport Company, with the Leader as a nominated member to serve on the Board, and to continue the role of lead authority and accountable body for the newly incorporated Freeport Company.</p>	 Expected to move to Medium/Amber
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	<p>The Planning Obligations Improvement Project is nearing completion. The final phase of system and process improvements are in the process of being rolled out. The new ways of working will fully be implemented by the summer 2022.</p> <p>Some District Local Plans are nearing submission stage for Inspectorate approval although funding arrangements for new schools are yet to be resolved. Significant financial risks to LCC arise from new school development dependant on contributions from multiple developers i.e. timing and cash flow issues to be resolved.</p> <p>This issue is exacerbated by rising inflation</p>	 Expected to Increase Direction changed to upwards
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	16 14/L4	<p>A&C</p> <p>A Health & Wellbeing Strategy was finalised and launched. Development of 3 Conversations Model working with Partnerships 4 Care is underway.</p> <p>C&FS</p> <p>Work continues to take place to develop the governance structures for children's health system and place.</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 March 2022	** Direction of Travel (Residual Risk Score over the next 12 months)
		people's needs.		<u>PH</u> No current update	
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 I4/L4	<p>Procurement activity to replace current backup technology with a solution more resilient to the threat of ransomware is almost complete and a decision is due on a preferred bidder. The timeline of the implementation stage that will follow is to be determined.</p> <p>Work in progress, with support from specialist partner, to review and improve the council's cyber incident response procedures. Plans and procedures to be tested with a simulated cyber-attack exercise. The Ukraine situation may increase the risk of attack.</p> <p>A test that department business contingency plans are resilient to a cyber incident is being planned.</p> <p>Application process for PSN renewal is to start in quarter 2.</p>	 Expected to Increase Direction changed to upwards
4. Commissioning & Procurement					
E&T	4.2	If Arriva is successful in its concessionary travel appeal, or the City in its challenge on the methodology of reimbursing operators, then reimbursement costs for the scheme could increase.	15 I5/L3	Efforts to complete this matter have been hampered by resource issues, recruitment, workloads and immovable deadlines.	 Expected to move to Medium/ Amber


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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>Since the turn of the year the Council has received a number of registrations from operators to either withdraw or change their services due to the impacts of the pandemic. This has been further compounded by the recent fuel price increases. Impacts are being assessed under the PTPS to determine any required intervention. There are a number of mitigations, namely: -</p> <ul style="list-style-type: none"> - The Government announcement of a further 6 months of Bus Recovery Grant from April 2022 – The councils allocation is yet to be announced - The Councils indicative allocation of BSIP funding – A Government announcement is expected March/April 2022 - The council being on track to make its Enhanced Partnership in April 2022 - The retendering of existing council bus service contracts on a like for like basis for 2 years from 31st July 2022 - The review of the approach to concessionary travel reimbursements during 2022/23 - The use of remaining Supported Bus Services Grant during 2022/23 	 Expected to remain high/red
CE/CR	4.4	Risk of challenge and/or financial penalty due to either an actual or perceived breach of procurement guidelines.	16 14/L4	<p>Procurement pipelines have been developed for most services.</p> <p>A capital programme reviewer has been recruited. Immediate capital projects are being reviewed whilst approach is developed</p> <p>Consultation responses on “Transforming Public Procurement” have been published but new legislation not expected until 2023</p> <p>The internal audit work on processes and controls is underway</p>	 Expected to remain high/red

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E&T and C&FS	4.5	If Special Educational Needs Assessments are delayed and Education, Health and Care Plans are not issued on time with appropriate placements for children identified, Transport Operations could be failing to provide a timely statutory service.	16 I4/L4 NEW	<p>There is a backlog of assessments in SENA, the impact of this are delays in securing school placements and a full sign off of EHCPs that will impact on transport arrangements. A cross department team has been set up to develop a plan and minimise impact, but it is likely that the delays will have an impact on the services ability to deliver. Insufficient time to plan routes may lead to inefficient transport arrangements</p> <p>Transport Operations may not be able to arrange transport for the start of new academic year in Autumn 2022.</p> <p>Comms strategy with parents to pro-actively provide assurance regarding timing of placement availability and to manage expectations around transport provision</p>	 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>In the Scrutiny Task and Finish Group's report to the Scrutiny Commission on 9 March 2022, benefits to both the County Council and staff were identified in the Ways of Working Programme business case, including for the Council a potential reduction in absence.</p> <p>CR - Performance management team contract has temporarily been extended until December 2022. Actively working on resolving reporting data issues.</p>	 Expected to 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 I4/L4 (increase from 15)</p> <p>20 I4/L5</p> <p>20 I4/L5</p> <p>12 I4/L3</p>	<p><u>Risks currently scoring 15 and above</u></p> <p><u>C&FS</u> Recruitment continues to be a significant risk to the authority. Additional pressures are currently being faced in recruiting agency workers to fill gaps and there are significant increases in pay rates being requested which creates additional difficulties in maintaining the social care workforce across service areas. the Ukrainian crisis is also likely to impact. The Department is continuing to develop a strong career structure for social workers and later in 2022 the first cohort of social workers who completed the sponsored apprenticeship will come into the Department.</p> <p><u>E&T</u> Work on a business case for Waste site workers enhancements is being progressed. Business Partners are progressing departmental specific issues, as challenges arise</p> <p><u>CR</u> Career grade guidance for managers has been agreed by Trade Unions and will be published soon a specific Managers Digest is being produced to highlight the changes to recruitment. Review of pay scales and differentials and consideration of re-introducing enhanced payments is underway.</p> <p><u>Risks currently scoring below 15</u></p> <p><u>A&C</u> Significant issues still exist, however, mitigating actions well</p>	<p style="text-align: center;"></p> <p style="text-align: center;">Expected to Increase</p> <p style="text-align: center;">Direction changed to upwards</p>

			<p>(decrease from 16)</p> <p>8</p> <p>I4/L5</p> <p>12</p> <p>I4/L3</p>	<p>underway. Post of resourcing assistant to support recruitment is now in place. There has been some success in recent recruitments. The risk has been scaled down to be managed at department level, but pressures are still being experienced.</p> <p><u>PH</u></p> <p>Increased demand from all agencies for PH staff during Covid-19 has withdrawn and the market is recovering quickly. Currently attracting good quality candidates to recruitment campaigns. Joined a national workforce strategy group alongside an internal review of workforce strategy which has led to a commitment to bring in 7 new PH apprentices that can start to develop the skills needed internally.</p> <p><u>CE</u></p> <p>There continues to be some risk arising from difficulties in recruitment in certain specialist areas; this is being partially addressed through the mitigations provided by the recruitment incentives policy and is subject to regular review. At present the risk score does not warrant regular inclusion on the corporate register.</p>	
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.	<p>16</p> <p>I4/L4</p> <p>(Decrease from 20)</p>	<p>Whilst market sustainability risks remain, the score has been reduced because the Government's social care reform proposals of September 2021 are now being considered as a separate risk.</p>	 <p>Expected to remain high/red</p>
A&C	7.4	Social Care Reform, implementation of charging reform and assurance process	<p>20</p> <p>I5/L4</p> <p>NEW</p>	<p>A Social Care reform programme has been established with 8 bespoke workstreams, to manage the activities required to implement the reforms - further risks and mitigating actions will be identified as the full implications of the reform are revealed during implementation. The likelihood for risks becoming issues will emerge more as the programme progresses.</p> <p>At this point it is unknown what level of funding will be allocated either nationally or to the Council. The LaingBuisson report for the County Council's Network suggested that the national allocation was underestimated by at least £850m, however the same report</p>	 <p>Expected to remain high/red</p>

				suggested that the Council would see a reduction in cost. Officers will be undertaking a baseline analysis in May/June to provide an estimate of costs to the Council of charging reform. Therefore the risk score is based on a number of unknown factors and will require review over the next quarter.	
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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	Work continues on how the risk will be best managed	 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 I5/L4	Carry forward of unspent funds from 2021/22 into 2022/23 agreed to help mitigate financial risk this year.	 Expected to remain high/red Direction changed upwards to horizontal
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 I5/L4	The Recycling and Household Waste Sites have experienced additional pressure of on-going staff shortages and a vacancy rate (for permanent staff) of over 25%; which has risen slightly since the last update. Construction of the Bardon Waste Transfer Station is substantially complete, and it is expected to be ready to start to receiving waste in the spring. Once fully operational the Bardon site should increase service resilience in the event that recycling, treatment or disposal sites are closed.	 Expected move to Medium/ Amber

E&T	9.4	If services do not take into account current and future climate change in their planning, they may be unable to respond adequately to the predicted impacts, leading to significantly higher financial implications and service disruption, as well as making future adaptation more costly.	20 I4/L5	<p>The Environment Policy & Strategy Team completed a review of the Climate Change Risk Registers in February 2022. This review identified 8 high and 56 medium risks to the council, its infrastructure, and services from climate change. Services have been classed as “high risk” if they (a) are a key community support service that is vulnerable to severe weather events, (b) are part of the County’s system of resilience to such events or (c) manage infrastructure assets (Highways and Property).</p> <p>The review included an assessment of climate change projections, the recent third national Climate Change Risk Assessment for the UK, the direct risks to services, and knock-on and compound risks. The review report included several recommendations including the drawing up of service level action plans for the high-risk service areas and the development of a council and countywide Climate Change Adaptation and Resilience Plan. Work on these areas and others is and will be taking place over the coming months/year.</p>	 <p>Expected to remain high/red</p>
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 (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

Risk Impact Measurement Criteria

Scale	Description	Departmental Service Plan	Internal Operations	People	Reputation	Financial per annum / per loss *
1	Negligible	Little impact to objectives in service plan	Limited disruption to operations and service quality satisfactory	Minor injuries	Public concern restricted to local complaints	<£50k
2	Minor	Minor impact to service as objectives in service plan are not met	Short term disruption to operations resulting in a minor adverse impact on partnerships and minimal reduction in service quality.	Minor Injury to those in the Council's care	Minor adverse local / public / media attention and complaints	£50k-£250k Minimal effect on budget/cost
3	Moderate	Considerable fall in service as objectives in service plan are not met	Sustained moderate level disruption to operations / Relevant partnership relationships strained / Service quality not satisfactory	Potential for minor physical injuries / Stressful experience	Adverse local media public attention	£250k - £500k Small increase on budget/cost: Handled within the team/service
4	Major	Major impact to services as objectives in service plan are not met.	Serious disruption to operations with relationships in major partnerships affected / Service quality not acceptable with adverse impact on front line services. Significant disruption of core activities. Key targets missed.	Exposure to dangerous conditions creating potential for serious physical or mental harm	Serious negative regional criticism, with some national coverage	£500-£750k. Significant increase in budget/cost. Service budgets exceeded
5	Very High/Critical	Significant fall/failure in service as objectives in service plan are not met	Long term serious interruption to operations / Major partnerships under threat / Service quality not acceptable with impact on front line services	Exposure to dangerous conditions leading to potential loss of life or permanent physical/mental damage. Life threatening or multiple serious injuries	Prolonged regional and national condemnation, with serious damage to the reputation of the organisation i.e. front-page headlines, TV. Possible criminal, or high profile, civil action against the Council, members or officers	>£750k Large increase on budget/cost. Impact on whole council

* Note that a different financial rating is used for the pension fund investments

Risk Likelihood Measurement Criteria

Rating Scale	Likelihood	Example of Loss/Event Frequency	Probability %
1	Very rare/unlikely	EXCEPTIONAL event. This will probably never happen/recur.	<20%
2	Unlikely	Event NOT EXPECTED. Do not expect it to happen/recur, but it is possible it may do so.	20-40%
3	Possible	LITTLE LIKELIHOOD of event occurring. It might happen or recur occasionally.	40-60%
4	Probable /Likely	Event is MORE THAN LIKELY to occur. Will probably happen/recur, but it is not a persisting issue.	60-80%
5	Almost Certain	Reasonable to expect that the event WILL undoubtedly happen/recur, possibly frequently.	>80%

Risk Scoring Matrix

<u>Impact</u>						
	5 Very High/Critical	5	10	15	20	25
4	Major	4	8	12	16	20
3	Moderate	3	6	9	12	15
2	Minor	2	4	6	8	10
1	Negligible	1	2	3	4	5
		1	2	3	4	5
		Very Rare/Unlikely	Unlikely	Possible/Likely	Likely Probable/	Almost certain
		<u>Likelihood*</u>				

*(Likelihood of risk occurring over lifetime of objective (i.e.12 mths)

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