







CORPORATE RISK REGISTER – UPDATE ON RISKS



APPENDIX A



Dept./ Function	CRR Risk No	Risk Description	Current Risk Score (incl. changes)	Update Based on risks discussed at department’s management teams during October 2022	** Direction of Travel (Residual Risk Score over the next 12 months)
Coronavirus – COVID-19					
All	A	If the Council does not on an ongoing basis plan for, prepare and respond to current and future consequences of the COVID 19 pandemic, then the Council and its communities could suffer long lasting economic, environmental, societal, technological challenges and missed opportunities.	16 I4/L4	The level of risk is continually monitored by the Resilience Planning Group (RPG). The impact of Covid is now being considered as one of several actual and potential ‘winter pressures’ including influenza, other pressures on the NHS, the cost of living, potential energy blackouts and weather-related incidents.	 Expected to remain red/high
Russian invasion of Ukraine					
All	B	If the implications of the Russian invasion of Ukraine are sustained, then the County Council and Leicestershire as a whole will be significantly impacted.	16 I4/L4	<p><u>Homes for Ukraine Scheme impact</u></p> <p>A number of local authorities across the country have committed to top up payments to Sponsor/Hosts to assist with the rise in the cost of living and winter bills. This is in advance of any guidance from the Government, or indeed any assurance of it being directly reimbursed (in the same way the current £350 per month is). There will be reputational risk if Leicestershire County Council does not follow suite and options are being considered. Options under consideration include:</p> <ol style="list-style-type: none"> 1. Do nothing 2. A one-off payment 3. A monthly payment (amount to be confirmed) over winter (Nov-March) <p>Potential Government Reconciliation Process in March; any underspend of funding may be requested back making long term support arrangements for guests and sponsors/hosts untenable.</p> <p>This is being flagged as a potential risk as at the moment the general view is that the government will not seek to claw back funding in this way although the uncertainty remains.</p>	 Expected to remain red/high




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Cost of Living Crisis					
All	C	If the current cost of living crisis continues and even intensifies without any UK Government interventions, then the people and businesses of Leicestershire as a whole will be significantly impacted, and the County Council will have to take some difficult decisions.	25 15/L5	<p><u>Impacts on the public, service users and businesses</u></p> <p>The Council's offer of support for Leicestershire residents (both proactive and reactive) is now set out on its website and is being used actively by Members and others. The total Support Package is £14.8m</p> <p>Working with system partners to enable them to offer warm spaces and other support. Work is underway in the partnership arena to align/co-ordinate the offer across partners. This is happening in a number of ways, but it was agreed that the best Forum to oversee this is the Health and Wellbeing Partnership which covers LLR. The partnership held a workshop on 11th October where all partners met to look at the system response. This work continues.</p> <p>A corporate cost of living group has been set up with each department represented to monitor developments and oversee and develop the Council's response.</p> <p>The Council's ability to respond will be largely dependent on the actions and decisions taken by the Government and there is a real risk Government actions will be insufficient, late, or most likely both. The Government has now frozen energy prices for to only six months but that will provide some help to households by reducing the amount that bills will increase by.</p> <p>The household support fund guidance has now been released and a larger proportion of the fund (£1.5m) will be used to support residents with fuel and food vouchers.</p> <p><u>Continuing impacts on the County Council</u></p> <ul style="list-style-type: none"> - Facing increased costs and reduced income - May require taking decisions on then managing messages around service reductions, reduced support, higher prices for care - Increases in mental and physical health referrals leading to further service delivery pressures and increases in safeguarding referrals - Increased public health risks due to undernourishment and 	 <p>Expected to remain high/red</p>




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				<p>cold and damp living conditions</p> <ul style="list-style-type: none"> - Staffing disruptions due to staff leaving for increased pay or not wanting to incur travel costs which could affect business continuity - Supply chain difficulties with some companies failing completely or having to apportion their distributions - The Government's freeze on energy costs is extended to public sector bodies such as schools and charities, a sixth-month scheme will offer what was termed "equivalent support" to that for households, with a review in three months about how it could be better targeted. 	
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	<p>As reported to Cabinet in September the Council's financial position is extremely challenging.</p> <p>Work has commenced to develop proposals for additional savings, including service reductions, with a view to incorporating when the MTFS is updated. The working assumption continues to be that Government support is only likely to be provided when multiple organisations are facing extreme difficulty. Even then it is unlikely to be at the level required to avoid significant savings. This position has been reinforced by the Government's increasing openness that reductions in public sector expenditure will be required to balance the nation's finances.</p> <p>It is expected that further information will be made available in the Government's Medium-Term Fiscal Plan, which is now reset to 17th November.</p>	 Expected to remain high/red
C&FS	1.5	<u>Children's 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	<p>Numbers in residential care have remained stable for a number of months. However, the Council continues to have a small cohort of children with such complex needs that they require a specialist provision and high staffing ratio. We have seen an increasing number of younger children requiring 2:1, 1;1 or solo placements. The 'Risk of Residential Meeting' is working well with good engagement from all areas. It is successfully challenging requests for care as well as recognising when a request for residential care is appropriate. For children where residential care is not identified as appropriate this is led by sufficiency in the market. There is a</p>	 Expected to remain high/red



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				<p>continuing focus on step down from residential. This is progressing with the older cohort 16-17 year olds. However, our younger cohort of children who require a family-based placement, the sufficiency in the market is impacting on our progression of plans</p> <p>In the last 6 months we have maintained the position that the largest cohort being accommodated is 16-17 year olds. Across this cohort we continue to have a high level of complexity in both behaviour and vulnerability of mental health.</p> <p>As of the 20th September we had 9 Initial Visits of which with average conversion rate, 7 will go forward to Assessment. We have 6 awaiting paperwork and then will move to Assessment and 8 in Assessment. This is an improving picture.</p> <p>Newly approved carers are offering useful service i.e., 6 of this year's 8 approvals have been approved for short term, 1 household can take siblings BUT only 1 of the 8 wants to foster teenagers (on respite).</p>	
C&FS	1.6	<p><u>Special Educational Needs</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.</p>	25 I5/L5	<p>In mid-October the Department for Education (DfE) provided an update on its 'Delivering Better Value in SEND programme' which aims to support local authorities to improve delivery of SEND services for children and young people while ensuring services are sustainable. Newton Europe, in collaboration with the Chartered Institute of Public Finance and Accountancy (CIPFA), is working with the DfE to deliver phase one of the programme. Newton works as a transformation and improvement partner to local authorities and CIPFA is the local government accounting standard setter in the UK.</p> <p>The Council is in Tranche 1 of 55 authorities and met Newton and CIPFA in September. Newton and CIPFA have now commenced delivery of Diagnostic support to the first authorities in Tranche 1 and the Council will need to have completed its Diagnostic by the end of 2023. The objective of the Diagnostic is, through robust evidence gathering and system engagement, to support</p>	<p style="text-align: center;"></p> <p style="text-align: center;">Expected to remain high/red</p>


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				<p>authorities to identify the most impactful changes that can be made to improve outcomes for children and young people with SEND. At the end of the Diagnostic, authorities will receive funding from the DfE although this is likely to be minimal in terms of the scale of pressures.</p> <p>The Council is also embarking on a new change programme for SEND and inclusion: Transforming SEND and Inclusion in Leicestershire (TSIL). This programme replaces the former High Needs Block Development Programme and whilst it builds on previous activity it will take a broader approach. Newton Europe have been commissioned to support the programme, provide challenge to the system and ensure effective child centred delivery.</p>	
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>Recent changes to reverse the mini budget mean that the responsibility for determinations of status for tax purposes will continue to reside with LCC.</p> <p>The recommendations made in the external review are being implemented by HR & Finance.</p> <p>It remains the case that the non-payment of Tax and NI could carry corporate criminal liability for facilitating tax evasion for those working outside of IR35.</p>	 Expected to remain high/red
All	1.9	If the immigration status of refugees and asylum seekers (including 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.	25 15/L5 (Increase from 20)	The dispersal of refugees from the south coast to the rest of the UK is putting pressure on services provided by the Council and partners. The Home Office is securing and mobilising hotels for accommodating refugees and only involving the Council and partners at a very late stage which can mean that there is very limited ability to check and challenge the suitability of the hotels secured and insufficient time to prepare appropriate support to those arriving in the county. The additional pressure placed on services is not matched by additional funding and this only serves to further exacerbate the financial challenges faced by the Council.	 Expected to remain high/red


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				<p>We continue to see an increasing number of UASC through the National Transfer Scheme (NTS) and through Dispersal Hotels. In 2021 we had 7 through Dispersal hotels and so far, this year 27. For the NTS in 2021 we had 10 and so far, this year we have taken 17. Spontaneous is also on target to be more than last year (20) and so far, this year 13. DFE have increased their expectations for placing children in NTS from 10 days to 5. This is a target when looking at the right match has not regularly been met.</p> <p>The contributing factor to a decrease in financial risk and reduced need for significant growth in this area, is the increase in Government funding for UASC. County Council UASC numbers are increasingly sharply but we do get significant funding per child in care and care leavers.</p>	
CE	1.11	If transition to the operational stage were not enabled, taking account of financial, governance, HR and other considerations, then the County Council would not be fulfilling its role as lead authority and accountable body for the East Midlands Freeport.	15 I5/L3	<p>Full designation of the Freeport is expected in November, delayed from the summer, depending on the new Government and the legislative timetable.</p> <p>A permanent chair of the Freeport Board has been appointed and the offer of appointment of a Chief Executive has been made.</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 I4/L4	Cabinet report in November will set out the council's position with respect to infrastructure funding.	 Expected to remain high/red




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2. Health & Social Care Integration					
C&FS A&C PH	2.4	If health and care partners fail to work together to address the impact of system pressures effectively, there is a risk of an unsustainable demand for care services and a risk to the quality of those services to meet need	16 I4/L4	<p><u>A&C</u></p> <p>Undertaking capacity and demand modelling to identify reablement recruitment needs and explore development of an intake model. Requirement for business case to DMT on any proposals to recruit additional resources.</p> <p><u>C&FS</u></p> <p>No Update provided.</p> <p><u>PH</u></p> <p>A downgrading of any, or all, PH services would have a profound impact on the substantiality of the system.</p>	 Expected to Increase
3. ICT, Information Security					
CR	3.6	If the planned improvements and developments to the ORACLE Fusion payroll and HR system and working processes fail to be implemented on time and in full, then the Council (and its partner Nottingham City Council) could face claims, reputational damage, potential loss of income if traded contracts are withdrawn and a negative opinion from auditors.	16 I4/L4	<p>The transition to a new support contract for the system has commenced.</p> <p>There remains a period of significant change over the next 6 months</p> <p>Several upgrades to the system are planned removing some of the bespoke workarounds.</p> <p>The potential to adopt a new recruitment solution is being assessed.</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 I4/L4	<p>Security logging & monitoring solution – preferred product identified. Pricing options and commercials being agreed with supplier. A working Proof of Concept anticipated for Q1 2023</p> <p>Procurement for a new Back-up solution – independent review completed with regards to the award process/bidder challenge. Agreement obtained to proceed with preferred supplier. Agreement of contract terms and implementation plan underway.</p>	 Expected to remain high/red


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				Following the successful Business Continuity exercises with Adults and Communities, further exercises to be rolled out to other departments.	
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	The position has changed somewhat since the previous update, and still remains under discussion. The outcome of a meeting in October was that further work needed to be done as a result of a further change in approach.	 Expected to move to Medium/ Amber
E&T	4.3	If as a result of the impacts of the coronavirus pandemic and cost of living crisis 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 I5/L4	The post covid bus market recovery continues to be challenging and slow: <ul style="list-style-type: none"> Commissioned a comprehensive review of its contracted services, including demand responsive transport services. Received its allocation of Local Transport Fund (Bus recovery Grant Extension until March 2023), which along with remaining Supported Bus Services Grant, can be used to support socially necessary transport provision. 	 Expected to remain high/red
CE/CR	4.4	If there was either an actual or perceived breach of procurement guidelines, then there could be a challenge and/or financial penalty.	16 I4/L4	Lessons learnt review in progress with E&T, Waste service, legal and Commissioning Support Unit. Initial discussions have highlighted the issues to be discussed. Next steps will be to implement the action plan by the end of December. Procurement pipeline published on the website "doing business with the council" page. It is proposed to implement quarterly update monitoring with Head of Service. This will become part of business as usual. Immediate capital projects are being reviewed and the future approach is being developed. In consultation with E&T, Property and Transformation Unit. They are also looking at the governance for capital projects.	 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, then Transport Operations could be failing to provide a timely statutory service.	16 I4/L4	Delivery of EHCPs from SENA remains high risk. Damage has been mitigated for 2022/23 academic year, via joint working with the SENA department however the effects are still being felt in the operational teams. Risk for 2023/24 is still high, as planning at a strategic level needs to start in earnest now, work continues to take place between SENA and Transport on a weekly basis to monitor progress and any barriers. C&FS are working with externally commissioned change partners to transform SEND and Inclusion for Leicestershire and to ensure SENA make progress towards delivering deliver EHCPs to be in line with the statutory timelines in the SEND Code of Practice and to be on time for the next academic year.	 Expected to move to Medium/ Amber
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>With regards to Winter Wellbeing communications Performance Management Advisors allocated and planning with Comms. Chief Officers have agreed to allow all LCC staff access to Warmer Homes advice and support regardless of their home location.</p> <p>Corporate messages of support for vaccination against Covid-19 and flu vaccination support.</p> <p>Continues to be issues getting accurate corporate absence reporting.</p>	 Expected to remain red/high

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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>25 I5/L5 (Increase from 16)</p> <p>20 I5/L4</p> <p>20 I4/L5</p> <p>16 I4/L4</p>	<p><u>Risks currently scoring 15 and above</u></p> <p><u>C&FS</u> Recruitment and Retention of Social Work staff is becoming increasingly challenging with a high number of vacancies across frontline social work teams, some of which are not able to be filled with agency. This is leading to increased risk associated with statutory service delivery. Have had agreement to launch retention schemes, including payment of market premium to the ASYE group (not previously included) moving senior practitioners to the top of the grade and retention to experienced grade staff and will need to monitor the impact on these investments in the next quarter.</p> <p>Department is continuing to explore other options around retention alongside use of other qualified staff to support service delivery.</p> <p><u>E&T</u> No further changes since last update.</p> <p><u>CR</u> Work in progress to implement being able to apply via CV application. Comms will go out in managers digest in due course.</p> <p>Review of pay scales and enhancements currently on hold due to the cost of the current pay offer. Unison and GMB Trade Unions accepted the NJC pay offer of £1,925 across all pay points. The offer, which will be backdated to 1 April 2022, includes an 4% increase to allowances and a one day increase to annual leave from 1 April 2023., backdated to 1 April 2022. The offer was rejected by Unite Trade Union</p> <p><u>A&C</u> Continuous recruitment of staff where necessary (HR BP) and development and implementation of workforce action plan (in conjunction with L&D)</p>	<p style="text-align: center;"></p> <p style="text-align: center;">Expected to remain high/red</p>

			<p>16 I4/L4 (Increase from 12)</p> <p>CE</p> <p>Solicitor vacancies in property teams and childcare - 2 in each team. Likely to be very difficult to recruit to all vacancies in current environment</p> <p>Planning, Historic and Natural Environment still scoring at 12 but loss of Ecology and Obligations Team Managers could impact securing s106 obligations. Recruitment challenges in Planning and Ecology. Incentive to fund professional subscriptions for Planners secured.</p> <p><u>Risks currently scoring below 15</u></p> <p>8 I4/L2</p> <p>PH</p> <p>Considering internal workforce strategy and reviewing apprenticeship route for enhancing the current workforce.</p>	
A&C	7.3	If the Department fails to develop and maintain a stable, sustainable, and quality social care market to work with, then it may be unable to meet its statutory responsibilities.	<p>20 I5/L4 (Increase from 15)</p> <p>Likelihood was increased from 3 to 4, due to no work having yet been undertaken with the market in relation to Fair Cost of Care and concerns around affordability. Fair Cost of Care reports due to Government in October 2022 and February 2023 which will impact funding. Identify the 'fair cost of care' and publish a market sustainability plan, continuing with enhanced level of communications and engagement with providers which has been in place since 2020.</p> <p>Monitor market stability and provider vacancy rates and identify providers at risk from internal risk monitoring tool and in liaison with CQC and other agencies.</p> <p>Inspired to Care to support workforce development.</p> <p>Analyse and plan for the impact of social care reforms on market capacity.</p> <p>Commissioning programme in development to explore alternative care models.</p>	<p></p> <p>Expected to remain high/red</p>

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A&C	7.4	Social Care Reform, implementation of charging reform and assurance process	25 15/L5	Workstreams will further develop mitigating actions and clear action owners in their workstream level RAID, with key risks and mitigations reviewed by SC Reform Programme Board.	 Expected to remain high/red
A&C	7.5	If there is continuing increase in demand for assessments (care needs and financial) then it may not be met by existing capacity.	20 14/L5	<p>Explore streamlining and digitalising assessment processes.</p> <p>Recruit additional staff and/or redeploy existing staff to support assessments.</p> <p>3 Conversations Model - promoting strength/asset-based approaches to reduce demand for assessments.</p> <p>Soft market testing to consider viability of outsourcing management additional demand for care assessments arising from impact of social care reforms.</p> <p>Explore procuring additional assessment resources / software.</p>	 Expected to remain high/red
A&C	7.6	If A&C fail to provide robust evidence of good practice for the CQC inspectors, then this will result in a poor inspection outcome and incur reputational risk alongside extra resources and possible external governance to undertake any actions required to make the improvements necessary to fulfil statutory requirements.	20 15/L4 NEW	<p>Prepare an open / honest and rigorous self-assessment which highlights our key strengths and weaknesses and our plans to improve services (this will require significant stakeholder engagement to gather evidence and ensure the voice of those with lived experience permeates the document).</p> <p>Collate all policies, strategies and guidance of relevance to the inspections and implement an improvement plan to address any gaps (e.g. missing or out-of-date documents).</p> <p>Undertake thorough preparations for the inspection visits, including ensuring all documentation is readily available and staff have a strong understanding of the CQC inspection framework and likely lines of enquiry.</p>	 Expected to remain high/red

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8. Business Continuity					
CE	8.1	If suppliers of critical services do not have robust business continuity plans in place, then the Council may not be able to deliver services.	15 I5/L3	<p>The Resilience & Business Continuity team:</p> <ul style="list-style-type: none"> • is in the midst of reviewing business continuity plans of existing critical suppliers. Any which do not obtain 'high assurance level', are being sent recommendations for improvement, together with a BC plan toolkit and BC plan template. • has presented at two C&FS provider events, giving an overview of Business Continuity and requirements of a BC plan • has presented to the A&C Quality & Contracts team, to provide sufficient BC knowledge so they can support providers with their BC planning • is preparing for possible national and local power outages including by engaging in national planning exercises, and will be liaising with services to ensure business continuity plans are in place to address this risk • are starting discussions around what information could be made available: <ul style="list-style-type: none"> ○ to external organisations on the LCC website ○ to contract managers/procurement on the internal Intranet 	 <p>Expected to remain high/red</p>

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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	<p>Work taking place to process map and streamline how works on trees (especially Ash trees) is managed and carried out within the Council. Seeking to distinguish between business as usual works and more complex works and to improve the handoffs between the Forestry Inspections Team and the Highways Forestry Team. This should help reduce the risk going forward as the ash dieback disease takes hold within the county and the need for works on trees increases.</p> <p>Surveys carried out in summer 2022 show that 58% of surveyed trees showed symptoms of ash dieback. Work recommendations for affected trees have been passed to relevant teams. However, concerns remain regarding the capacity of internal and external resources to deliver identified works.</p>	 Expected to remain high/red
E&T	9.2	If there was a major issue which results in unplanned site closure (e.g. fire), then the Council may be unable to hold or dispose of waste.	15 15/L3	Bardon whilst not yet able to fully utilise its capacity; is now accepting more main round (black bin) Refuse Collection Vehicle (RCV) residual waste from the Districts. It is also successfully being used as a contingency during planned and unplanned outages.	 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 14/L5	Since the Climate Change Review and Risk Assessment report was completed in February 2022, limited work has taken place in progressing the recommendations of the report due to staff shortages and capacity issues within the Environment Policy & Strategy Team. Some work has taken place on the recommendation to explore what a Climate Change Adaptation and Resilience Strategy and Action Plan might consist of. Some early conversations are taking place with statutory partners on whether they would like to be involved in the development of such as strategy and action plan. Climate Change risk is also being fed into the responses on consultations on LTP4 and the Highways Design Guide.	 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 JANUARY 2020

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

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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
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					
4	Major	5	10	15	20	25	
		4	8	12	16	20	
	3	Moderate	3	6	9	12	15
			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 months))