









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 December 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 risk is longer term (i.e. planning for the next COVID) rather than the immediate response. Conscious that the winter could significantly increase caseload.	 Expected to move to Medium/Amber
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>Homes for Ukraine Scheme impact</p> <p>A key challenge has been ensuring that Ukrainian refugees are able to access and stay in accommodation provided by host families in the UK and avoid becoming homeless. The Government reimburses councils for a payment of £350 per calendar month for sponsors The Council decided to increase sponsor ‘thank you’ payments to those hosting Ukrainian refugees by an additional £150pcm for the period November 2022 to March 2023 inclusive, the extra £150 per month to be met from the general pot of funding based on £10,500 per guest. Subsequently in December 2022 the Government issued new guidance and revised funding arrangements for the Homes for Ukraine scheme. For guests who have been in the UK for 12 months or longer sponsor thank you payments will be increased to £500pcm. This specific change will help manage the risk regarding homelessness. Other aspects of the new funding arrangements are being examined but it is not currently anticipated that these significantly increase risks to the Council.</p> <p>A significant portion of the general funding is unlikely to be required in the current financial year. The risk of any unspent funds needing to be paid back to the Government looks low. However, from January 2023 the amount per guest is being</p>	 Expected to remain red/high




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				reduced from £10,500 down to £5,900 and it is unclear for how long those payments will continue for. It is expected that costs for many guests on the scheme may escalate going forwards, especially if homelessness becomes an increasing problem. So given the reduction, and potential ceasing of payments at some point in the future, it is useful to be able to build up a pot to reduce the risk of costs exceeding resources going forwards.	
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>Government support alongside what support system partners are offering is helping but we may not see the long term effects of the cost of living crisis for some time.</p> <p>The increase of the energy price cap in April will cause further issues and the plan from Government for support is yet unknown.</p> <p>The household support fund which local authorities have been using to support residents currently ends at the end of March and it is not known if that will be extended or not.</p> <p><u>Continuing impacts on the County Council</u></p> <p>The current cost of living crisis arguably heightens the risk of fraudulent activity against the Council. This includes both external fraud and internal (insider) fraud. We continue to remind managers of their responsibilities to operate effective systems of internal control to safeguard the Council's assets, e.g. adequate separation of duties in key processes. We also continue to remind managers of the need to have effective and robust recruitment processes in place. With specific regard to the risk of insider fraud, the Council will shortly be receiving its output from the Cabinet Office's biennial National Fraud Initiative (NFI), a national data matching exercise designed to identify anomalies and potential fraudulent behaviour in a number of areas. As examples, NFI seeks to identify where our employees may have secondary employments (risk of working one job whilst absent from another, or of simply having a poor work/life balance) or where employees have undeclared connections to private sector limited companies (risk of corruption in the procurement process).</p>	 <p>Expected to remain high/red</p>




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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	Funding reforms delayed until after spending review period (2024-25). Autumn Statement delivered better than the (low) expectations. Detail of grants and conditions are still to be confirmed. Draft budget agreed for consultation in December. Series of efficiency reviews being scoped. Approach to increasing pace of initiative development and certainty of saving delivery.	 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 I5/L5	<p>Currently there are 703 Children in Care and this has been stable for 3 months. Our numbers in residential care have also continued to remain stable. We track our high-cost placements which include 2:1 and solo staffing for our most complex children.</p> <p>The Residential Review Group is continuing to focus on step down from residential. This is progressing with our 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. We are looking at different ways of engaging the Independent Fostering Agency market to step our younger children out of residential care. We are mindful that we have had an increase in younger children being placed in residential because of sufficiency and not need.</p> <p>As of 23rd November, we have had an average of 25 Requests for Information (RFI) per month, which is lower than we would want but higher than regional neighbours. This will result in a lower than target outcome. Although our RFI's remain low our conversion rate is high at 60% and utilisation of our current foster placements is 74.8%.</p>	 Expected to remain high/red


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C&FS	1.6	<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.	25 15/L5	Programme launched and currently in 'design by doing' phase (an approach that works when the process is not predictable and cannot be written down ahead of time). Newton Europe has updated the projected savings in line with further increases in the EHCP growth rate but they are insufficient to address the financial problem. As such the financial position continues to deteriorate and over the four years of the 2023/24 MTFS the gap between the grant and net expenditure remains at an average of c£12m per year.	 Expected to remain high/red
CR	1.7	If the Council is not compliant with the HRMC IR35 regulations regarding the employment of self-employed personnel, then there is a risk of large financial penalties	20 15/L4	Still awaiting a response from HMRC to the submission made following the external review regarding office holders. In addition, HMRC is taking more interest and we have been asked to complete a questionnaire by the end of December. The external review is now complete. Recommendations that have been implemented include updating of policies which have been approved by Corporate Negotiation and Consultative Committee (CNCC). The review of a sample of cases by the external review identified some additional posts which have now been disclosed to HMRC. The external review provided a commentary alongside this detailing the progress that LCC is making on putting controls in place. The scoping work has identified a vast number of sole traders are employed by the council. Work is being undertaken to identify if these traders have other people working for them.	 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	25 15/L5	Led by the Police a meeting has been arranged for 2 February to consider the full range of asylum/refugees issues affecting Leicester, Leicestershire and Rutland Local Resilience Forum to ensure there is a shared awareness of these and that assurance is provided that appropriate responses are being developed, implemented and co-ordinated. We currently have 80 UASC under the age of 18 and Children in Care and 83 care leavers. In October we had 5 UASC accommodated in Leicestershire and all 5 were through the	 Expected to remain high/red


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		relation to its housing and care duties.		National Transfer Scheme. We continue to have dispersal hotels within the authority regularly have challenges to previous age assessments which were done prior moving to Leicestershire. Due to the mandated NTS scheme we are receiving more young people through this route and the expectation is to accommodate them within 5 days which has reduced from 10. There is increasing financial pressure to create capacity to meet demand. This links to the further risk around children's social care recruitment and retention.	
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	Full designation of the Freeport has been slightly delayed pending designation by HMRC of a customs site, for which all approvals are in hand. The full business case has been through all the required Government approvals, reported by Department for Levelling Up Housing and Communities (DLUHC) to the Freeport Board. A permanent chair of the Freeport Board was appointed in summer 2022 and a Chief Executive has been appointed, to take up post in March 2023.	 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	Planning Obligations Policy review scheduled to commence Q4 2022/23. Ongoing relationships with districts at a case officer level remains positive and we have an open dialogue around contributions not supported.	 Expected to remain high/red
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	A&C Significant improvements in discharging people into domiciliary care provision with waits in the single figures. Numbers waiting for discharge across the system also historically low. Ambulance waits are still a high-risk factor as are the numbers waiting for Pathway 2 (P2) beds (Rehabilitation or short-term care in a 24-hour bed-based setting).	 Expected to Increase



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				<p>University Hospital Leicester declared the critical incident and system partners did not, there is a likelihood that given pressures on the NHS that this may be more frequent. LCC responded to all asks via UHL.</p> <p>ASC hospital staff working on reviewing P2 referrals to maximise use of P1 (Support to recover at home; able to return home with support from health and/or social care). This includes looking at night-time needs and domiciliary care provision as part of the Charnwood pilot for the 3 R (recovery, reablement and rehabilitation) model of intermediate care. This pilot is now live and will aim to refine processes between ASC and LPT in the community and within UHL to increase speed and maximise reablement and rehab potential.</p> <p>Discharge 2 Assess workshop review data is available. This will support demand and capacity modelling for the remainder of the 3 R model work.</p> <p><u>C&FS</u></p> <p>Work to develop children and young people collaborative has now been completed and collaborative is in place.</p> <p>Ongoing discussions with health around joint commissioning and shared funding.</p> <p><u>PH</u></p> <p>No update.</p>	
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	16 14/L4	<p>Continued engagement with Oracle and Evosys to reduce outstanding incidents and work towards further improvements to the system. Identify the key areas that are not operating as intended post go-live.</p> <p>Review the project benefits to plan delivery of those that are outstanding.</p>	 Expected to move to Medium/ Amber


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		damage, potential loss of income if traded contracts are withdrawn and a negative opinion from auditors.		Health check of the payroll system commissioned from NAMOS – report received Managed Service Provider procurement - Contract awarded.	
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	Security logging & monitoring solution – Purchasing framework identified and agreed. Procurement process to commence January 2023. Procurement for a new back-up solution – contract agreed with supplier and equipment is on order. Implementation to take place in March 2023. Disaster Recovery (DR) Steering Group and Business Continuity enhancing business awareness around DR and the importance of keeping Business Continuity plans up-to-date. Testing of specific Line of Business applications scheduled to conclude by March 2023.	 Expected to remain high/red
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 final position has been agreed between the City and County councils following further work, but the final settlement with Arriva still remains to be agreed. Discussions are due to take place early in 2023 to progress the settlement of this outstanding payment.	 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"> - A comprehensive review of its contracted services, including demand responsive transport services is now underway. This may mean the withdrawal of some of our contracted services. - Managing changes to the network in line with the Passenger Transport Policy and Strategy. - Allocation of Local Transport Fund (Bus Recovery Grant), which along with remaining Supported Bus Services Grant, can be used to support socially necessary transport provision. 	 Expected to remain high/red



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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	<p>Lessons learnt review in terms of a specific procurement challenge has now been completed. An action plan detailing work to be completed by the end of Q4 on training and further guidance.</p> <p>Further long-term actions regarding appetite for risk have also been identified.</p> <p>Consultant for capital works programme working with Transformation Unit and E&T to identify improvements for contract management and overall governance</p> <p>There will be new legislation in 2023 which will demand more transparent decision making and improved monitoring of contracts. It is likely that a new target operating model both for Commissioning Support Unit and departments will need to be developed to meet these significant new changes. Early comms will be sent out to managers highlighting forthcoming changes.</p>	 Expected to remain high/red
E&T and C&FS	4.5	If Special Educational Needs Assessments are delayed and Education, Health and Care Plans (EHCP) 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	Risk for 2023/24 remains high but C&FS is continuing to work with externally commissioned change partners to ensure EHCPs are delivered on time to enable the statutory timelines in the SEND Code of Practice to be met for the next academic year, with appropriate placements for children identified.	 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>Performance Management Advisors allocated and planning with Comms.</p> <p>Chief Officers have agreed to allow all LCC staff access to Warmer Homes advice and support regardless of their home location.</p>	 Expected to remain red/high



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				<p>On-going challenges with reporting data. A review of the capabilities of the reporting tool is ongoing.</p> <p>Exploring options with Legal and Occupational Health regarding how we manage current challenges with NHS delays with regards to very long-term sickness or complex cases.</p>	
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 15/L5</p> <p>20 15/L4</p> <p>20 15/L4</p> <p>16 14/L4</p>	<p><u>Risks currently scoring 15 and above</u></p> <p><u>C&FS</u> Recruitment and retention of social work staff continues to be a challenge with a number of vacancies that we are not able to fill with agency.</p> <p>Continue to work to strengthen our offer to permanent staff, particularly focused on support and enhanced career framework.</p> <p><u>E&T</u> Resource issues remain in E&T across the department. Discussions continuing around the Reed agency agreement and what resources they are able to provide. The department is also considering recruitment incentives to mitigate the issue.</p> <p><u>CR</u> Implementation of application via CV now in place, with guidance published in a recent managers digest. Feasibility of being able to offer incentives for apprenticeships being looked into.</p> <p>The National Living Wage continues to impact particularly on the lower grades which has eroded differentials. Negotiations are ongoing re: 23/24 pay award. Once agreed the impact upon the pay scale and differentials will be assessed.</p> <p>People Services are considering the feasibility of including enhancements within the recruitment incentives policy. This is currently on hold due to affordability.</p> <p><u>A&C</u> People Services supporting understanding of vacancies and financial sign-off. Vacancy rate has decreased. Improving</p>	<p style="text-align: center;"></p> <p style="text-align: center;">Expected to remain high/red</p>

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			<p>16 14/L4</p> <p>8 14/L2</p>	<p>efficiency of recruitment processes. Market supplement to address lower salaries at higher levels than comparators. Good entry level offer - able to recruit at lower levels and Community Social Workers, however tends to be newly qualified which requires significant investment around training etc.</p> <p><u>CE</u></p> <p>Recruitment and retention remains challenging across the whole department</p> <p><u>Risks currently scoring below 15</u></p> <p><u>PH</u></p> <p>Recruitment has been a success across all hard to recruit to posts in the last 9 months. A number of roles and public health apprentices have now been filled.</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.	20 15/L4	<p>Fair Cost of Care (FCOC) exercise completed for providers of residential care 65+ and home care 18+, however affordability not yet ascertained - continuing to model implications. Provider engagement on the cost of care (residential and domiciliary) took place in September and has been ongoing across December and January 2023. There is a reputational risk around how we manage provider expectations.</p> <p>Provisional Market Sustainability Plan submitted to Department of Health and Social Care (DHSC) in October 2022. Final version due with DHSC in March 2023 which is expected to impact funding. Fee setting exercise will still be required for fees applicable from April 2023. Understood that the formal implementation of FCOC may be delayed nationally, with a further £562m of funding. It is unknown how much will be allocated to LCC and under what conditions. The department is expecting the additional monies to fund an uplift to providers figures due to inflationary pressures and increases to minimum wage, however there is no requirement to pay rates identified in FCOC exercise.</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	The considerable financial risk we faced with charging reform aspect of Social Care Reform is now delayed to 2025, however we await government guidance on the requirement to move toward a fair cost of care and as yet have not received the Adult Social care grant and market sustainability grant guidance, conditions, and reporting requirements which could result in a residual risk to the Council.	
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>Online Financial Assessment (OFA) launched - updated LCC website. Article shared in Leicestershire Matters to promote usage of digital services. Since mid-November Business Support question requests to send information out via post (including OFAs).</p> <p>In order to handle the backlog of reviews, a new team is being formed. This will likely boost resilience and capacity for handling higher demand brought on by ASC reform-related activity.</p> <p>Two 3 Conversation's hub sites now live, with planning for two more underway. Regular progress review meetings - good progress in establishing connectors for the sites (including Looked After Children) which facilitate a collaborative approach to resolving needs.</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	<p>Developed Draft Self-Assessment which collates all findings into 4/5 key topics for each theme. Document filled in based on analysis of documents/tableau dashboards and internal officer engagement. Staff survey undertaken from 14/11/22 -01/01/23 – this received over 240 responses and has provided a significant amount of evidence to help inform our Self-Assessment, including staff views on how well services are performing, where they need to improve and how they could do so. The survey will be followed by staff workshops to take place from week commencing 16th January – these will focus on challenging / validating the Self-Assessment findings and considering how ideas around improvement activities could be taken forward.</p> <p>External engagement with public, providers, partners etc will take place from January-March 2023 to inform the final Self-Assessment. Initial discussions with Integrated Care Board assurance leads have commenced with the aim of coordinating</p>	 Expected to remain high/red

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				<p>approaches to preparations for CQC inspection. Policy, strategy and guidance documentation mapping has been completed with some documentation gaps identified and mostly filled (all to be addressed by February 2023).</p> <p>Advice obtained from C&FS regarding planning for inspection visits. Preparations to be developed with Assurance Workstream in the New Year. Inspections won't take place until at least April 2023 so we have time to finalise these plans. Staff comms underway and has included introducing the assurance process as well as promoting the staff survey and workshop through all available channels.</p>	
C&FS	7.7	<p>If current demand for EHC Needs Assessment and updating of EHCPs after annual review exceeds available capacity of staff within SEND Services (particularly educational psychology and SEN Officer), then this leaves the Council vulnerable to complaints of maladministration with regards to statutory timescales. The situation is worsened by a lack of specialist placements which means that children with complex needs may not be placed in a timely way and hence may not receive the support to which they are entitled through their EHC Plan.</p>	<p>25</p> <p>15/L5</p> <p>NEW</p>	<p>There are currently (Jan 2023) 6044 children in Leicestershire with an Education Health and Care Plan (EHCP). Between January 2018 and January 2022 there has been a 73.5% increase in EHCP compared to a 65.6% increase nationally. The increase in demand for assessments has created significant pressures in the services responsible for the co-ordination of plans and assessments as those services have not had the capacity to keep up with the demand. This has led to a large majority of plans not being issued within the statutory timeframe of 20 weeks. In turn this has led to an increase in complaints relating to SEND. The number of complaints in relation to SEND received in 2021/22 was 138, this increased to 246 between April 2022 and January 2023. The majority of complaints are about delays in issuing plans and provision as specified in plans not being in place.</p> <p>As at 13 January 2023 there are 46 young people with an EHCPs who currently have no school place identified. Case managers continue to liaise with the families and offer packages of tuition and support to meet the child's identified needs whilst consulting with potential mainstream and specialist provisions. At present there is a particular pressure in the availability of specialist provision for Children and Young People with cognition and learning needs.</p> <p>Following a diagnostic review early in 2022 Leicestershire, through competitive tendering, has engaged Newton Europe as a strategic partner to deliver the Transforming Send and Inclusion in</p>	<p style="text-align: center;"></p> <p style="text-align: center;">Expected to remain high/red</p>

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				Leicestershire (TSIL) programme. The programme is focusing on changes to the whole SEND system to ensure that children with special educational needs and disabilities have their needs met at the right time, in the right place and with the right support. This will include work to ensure plans are issued within timeframes and that there is sufficient placements available to meet the assessed needs of children with SEND.	
8. Business Continuity					
All	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 15/L3	<p>The Council's Resilience & Business Continuity (R&BC) team: -</p> <ul style="list-style-type: none"> Continues to review 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. The Resilience Planning Group has agreed contract managers will agree to work with suppliers to implement these recommendations. Where appropriate the R&BC are presenting to supplier forums to promote business continuity and offer advice and guidance. The R&BC team are working closely with colleagues through the Disaster Recovery Steering Group to enhance the level of resilience around IT systems. All Department Management Teams have received a presentation regarding the risk of IT incidents and the potential impacts on the Council. 	 Expected to remain high/red
9. Environment					
E&T	9.1	If the ash dieback disease causes shedding branches or falling trees, then there is a possible risk to life and disruption to the transport network	20 15/L4	<p>Surveys carried out in summer 2022 show that 58% of surveyed trees showed symptoms of ash dieback.</p> <p>Inspection of all LCC trees adjacent to the highway (including Ash) are up to date and any works passed through to the Operations Team.</p>	 Expected to remain high/red

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				<p>Works are categorised according to risk / priority for completion.</p> <p>Tender out for a specialist operator to complete all Ash Dieback works from 2023 for a five-year period.</p>	
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.	<p>20</p> <p>15/L4</p> <p>(Increased from 15)</p>	<p>The award of a new waste treatment contract for Energy recovery at the Newhurst facility has been confirmed, which will help improve resilience once operational in April 2023.</p> <p>However, in December 2022, the Environment Agency (EA) revised its guidance concerning upholstered domestic seating prohibiting landfill disposal after the end of December which means we are at increased risk from January as we have very limited treatment capacity and interim regulatory position statements on handling and processing this material are still outstanding. We do not have the capacity at some of our sites to separately collect this material, so we have had to cease accepting this material at the three smaller sites that don't have the space (Bottesford, Lutterworth and Somerby). Furthermore, as available treatment capacity is very limited, we have prioritised our statutory obligations to residents and the districts and we have ceased accepting this material from charities and traders (at Whetstone).</p>	<p style="text-align: center;"></p> <p>Expected move to Medium/Amber</p>
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.	<p>20</p> <p>14/L5</p>	<p>A comprehensive review and risk assessment exercise was completed and a report produced in 2022. The exercise identified 8 high risks and 56 medium risks across the council services assessed. The report also made a number of recommendations including working with service areas to develop action plans to mitigate identified high risks and of the need to develop a Climate Adaptation and Resilience Strategy and Action Plan for the area. Work is / will be taking place to deliver on these report recommendations during 2023.</p> <p>A draft consultant specification has been developed, with positive responses being received from those spoken to. Have planned engagement with the high-risk service areas identified into the 2023-24 work programme of the Environment Policy & Strategy Team, which should produce action plans for mitigating the identified risks from climate change on the service areas.</p>	<p style="text-align: center;"></p> <p>Expected to remain high/red</p>

Dept./ Function	CRR Risk No	Risk Description	Current Risk Score (incl. changes)	Update Based on risks discussed at department's management teams during December 2022	** Direction of Travel (Residual Risk Score over the next 12 months)
				Discussions taking place with local universities exploring how they might be able to collaborate with LCC on developing solutions for adapting to the impacts of climate change.	

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 variety of border checks.	16	The Assistant Chief Executive is satisfied that the risks identified in the Reasonable Worst-Case Scenario did not materialise on transition as the UK and EU reached a trade deal	29 January 2021
C&FS	10.1	If the Local Authority and its partners do not succeed in developing an inclusive culture across all schools, education providers and partner agencies (including the Parent Carer Forum), then it will be difficult to secure parental confidence in the ability of the 'whole system' to meet the needs of the large majority of children with SEND in a mainstream school context.	16	The context of this risk is deemed to be covered within corporate risk 1.6 - If demand for Education Health and Care Plans continues to rise, and corrective action is not taken, there is a risk that the high needs deficit will continue to increase.	29 January 2021

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
E&T	9.3	If the Council is not able to deliver on the commitments it has made in its climate emergency declaration due to the complexity and difficulty of some of the decisions and actions that will need to be made, then this will impact on the Council's ability to fulfil its leadership role and have financial and reputational consequences.	15 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
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

Dept.	CRR Risk No	Risk Description	Current Risk Score	Reason	Date of Removal
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
A&C	7.4	Social Care Reform, implementation of charging reform and assurance process	25 15/L5	The considerable financial risk we faced with Charging reform aspect of Social Care Reform is now delayed to 2025. The most significant of the risks which remain is around the CQC Assurance process which is covered in risk 7.6.	5 January 2023

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	Probable/ Likely	Almost certain

Likelihood*

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