

CRR Risk No.	Dept./ Function	Risk Description	Current Risk Score			Current Controls (embedded)	Further Controls	*Target Risk Score			Update	** Direction of Travel (Residual Risk Score over the next 12 months)
			Impact	Like lihood	Risk Score			Impact	Like lihood	Risk Score		
Russian Invasion of Ukraine												
B	ALL	If because of the ongoing war in Ukraine, the Homes for Ukraine Scheme continues beyond its original planned duration, increasing numbers of hosts are likely to end their sponsorships and refugees (or guests) are expected to encounter challenges in securing new sponsors or privately-rented accommodation, then the cost and service pressures on the Council and partners are likely to increase, safeguarding issues might increase and there will be a reputation risk if the scheme fails to provide the support guests require. Cost of living pressures are exacerbating this issue through both in relation to hosts and guests.	4	4	16	<ul style="list-style-type: none"> Homes for Ukraine Scheme Co-ordinated strategic and operational groups. Local housing authorities partnerships to rematch guests with new sponsors. Led on data co-ordination, cleansing, sharing and input. Payments/top up payments to Sponsor/Hosts - reimbursed from Government. 	<ul style="list-style-type: none"> General funding pot - to reduce the risk of costs exceeding resources. 	5	2	10	<p>The Homes for Ukraine Scheme team is now in place and fully staffed. There are continuing pressures in terms of implementing systems that avoid delays in financial payments and there are risks that as the scheme develops and sponsorship arrangements come to an end, if we cannot extend or rematch guests there will be risk associated with homelessness and demands on the private housing system. Some of the funding is allowed to be used creatively to support community development, English to Speakers of Other Languages etc</p>	↔ Expected to remain high/red
Cost of Living Crisis												
C	ALL	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.	5	5	25	<ul style="list-style-type: none"> Government/System partners support. Corporate cost of living group. Health and Wellbeing Partnership. National Fraud Initiative (NFI) to prevent insider fraud. 	<ul style="list-style-type: none"> Extension of the household support fund/support packages. 	5	2	10	<p>Impacts on the public, service users and businesses</p> <ul style="list-style-type: none"> The increase of the energy price cap in April will cause further issues and the plan from Government for support is reduced and therefore will see a greater impact on more individuals. The household support fund has been continued for a further 12 months and we are currently reviewing the offer to residents from April 2023. 	↔ Expected to remain high/red
1. Medium Term Financial Strategy												
1.1	ALL	If we fail to achieve the agreed financial MTFS targets for income generation then additional savings will need to be made.	5	5	25	<ul style="list-style-type: none"> Four year MTFS approved Monitoring processes in place at service, departmental and corporate level Performance against budget monitored and reported to Scrutiny Commission regularly Reporting of Transformation Programme aligned with Corporate Finance reporting Progress on savings from Transformation Programme monitored regularly to resolve early issues Transformation Programme aligned to MTFS The TU Business Partners supporting all departments to identify opportunities and to lead the development of OBCs Deliverability assessments on all Business Cases and newly identified opportunities for savings now routinely completed TU providing support to Departments to develop Business cases to secure savings and other associated benefits 	<ul style="list-style-type: none"> Further work on the Council's low funding position to make the case for increased funding to government. Produce MTFS 2023-27 Further savings will be required to close the 24/25 gap. 	5	3	15	<ul style="list-style-type: none"> Funding reform delayed until after spending review period (2024-25). Meeting with Chancellor took place 25th April to discuss position. A follow up meeting with Lee Rowley, Minister for Local Government planned. MTFS 23-27 Approved by County Council. Series of efficiency reviews being scoped. Targets allocated to departments. Approach for the year agreed with CMT. 	↔ Expected to remain high/red
1.5	C&FS	Children's Social Care 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	5	5	25	<ul style="list-style-type: none"> Weekly tracking of admissions and discharges of Children in Care; Child Decision Making Panel established. Annual Market Position Statements published; mainstream and specialist Foster Carer recruitment targets met; Overarching Placement Strategy. 16+ placement framework to ensure we have sufficiency to enable to move children from more costly placements or for UASC. Complex Care Panel with health is ongoing. Director sign off for residential placements; AD sign off for requests for independent fostering and 16+ for CSC. Monthly DMT reviews. Panel meetings look at high cost placements in residential care. Dedicated Service Manager for Permanence, support worker and dedicated staff for SGO support; ongoing programme of training and awareness; recruitment of a third therapeutic worker for post 3 year adoption placement. Word Of Mouth project – six year programme of targeted savings. Consultant advising on additional growth and to deliver a revised payment scheme and recruit foster carers. Approach to Fostering review. 	<p>Activity to manage this risk include:</p> <ul style="list-style-type: none"> MISTLE *: Financial Impact assessment will be available to Care Placement Strategy Board on 26 November 2019. And will be factored into planning for the new residential model (in partnership with Barnardo's) Care Placement Strategy: is overseen at Directorate level to develop and oversees strategies to manage demand and cost in this area Special Guardianship Order (SGO) Strategy being considered. Scoping paper going to Care Placement Strategy Board on 26 November 2019. Recruitment of foster carers has now returned to BAU - no longer overseen by Care Placement Strategy Board (targets are being met) <p>*MISTLE (Multi-disciplinary Intervention Support Team Leicestershire) combines multi-agency working and foster care in the local community, with therapeutic care for children, teenagers and young adults (8-18). The service is commissioned form Family Action.</p>	4	4	16	<p>We currently have 679 Children in care and this been reducing incrementally over 3 months.</p> <p>Residential Review Group is continuing to focus on step down from residential. 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>In respect of fostering in March 2023 we had 25 Requests for Information which is the highest for 6 months, this remains lower than we would want but higher than regional neighbours. We have 9 households in assessment and 1 at Quality Assurance. There were 6 approvals in March resulting in 16 in the year 2022/23. This is far short of our target of 25 but in the current national climate is a positive outcome. Although our requests for information's remain low our conversion rate is high at 60% and Utilisation of our current foster placements is 76%.</p>	↔ Expected to remain high/red

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1.6	C&FS	Special Educational Needs 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.	5	5	25	<ul style="list-style-type: none"> Demand management actions including weekly scrutiny with operational leads creating performance culture and greater eye on quality and provision within plans. Improved decision making mechanisms through a number of panels (Decision to Assess, Quality Assurance and SEN specialist panel - tightening decision making and management oversight) Tender exercise for third party delivery partner now complete, with Newton Europe appointed following an initial diagnostic phase which confirmed the systemic challenges that need addressing 	<ul style="list-style-type: none"> Demand/volume and timeliness challenges remain in the service creating considerable pressures - BAU capacity proposals being considered to address the immediate pressures Currently in set up phase for design and implementation of a new target operating model for SEND and inclusion Governance scoped and being put in place, which includes strategic oversight and direction from Director of CFS and Director of Corporate resources Joint programme team established and in place between Newton Europe and Transformation Unit to facilitate the changes that need to happen in this next phase Wider BAU stocktake happening with delivery partner to establish the current position/what's changed since the end of the diagnostic phase (March 2022) Changes in programme and service leadership to strengthen the services ability to deliver, own and embed the changes needed System transformation and service transformation workstreams being established to ensure the scope of the programme deals with the whole system challenges impacting the current situation, which includes a major engagement piece with schools and parent/carers etc. 	4	4	16	Transforming Send and Inclusion in Leicestershire (TSIL) programme well underway in design phase. Financial benefits currently being finalised. Aim of programme remains to reduce deficit on High Needs Block.	↔ Expected to remain high/red
1.7	CR	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.	5	4	20	<ul style="list-style-type: none"> EMSS (FSC) can flag and put on hold on payment until IR35 decision been agreed with BV. This seems to be working. Examples that FSC have contacted IR35 inbox to flag possible IR35 suppliers. CSU team have been updated by Kay Springthorpe on IR35 requirements. IR35 has been included in guidance on spending controls. Greater link up with off contract agencies. Monthly IR35 spreadsheets are being sent by departments and data is being monitored. SMART conditions draft sent to HMRC due to HMRC considering a suspended penalty. Progress around fusion to build categories of off-payroll (PSCs, sole trader, office holder), work underway to build a notification in regards to leavers so that can see which off-payroll workers are leaving. Disciplinary procedure now includes Gross Misconduct and Misconduct for failure to take reasonable care with IR35 legislation. This will be brought to CNCC in May 2023. 	<ul style="list-style-type: none"> To identify and resolve arrangements regarding office holders. An external review of our policies and processes has be commissioned to identify any areas for further improvement. Sole Traders initial scoping exercise. 	4	3	12	<ul style="list-style-type: none"> HMRC questionnaire deadline was extended to end of March 2023. Response has been sent. Business case has been drafted to support Compliance Lead with dealing with Off-payroll worker legislation for sole-traders. 	↔ Expected to remain high/red

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1.9	ALL	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.	5	5	25	<ul style="list-style-type: none"> Development of a specialist UASC team - recruitment of manager and staff to specialist UASC team is established; ongoing development of specialist skills, knowledge and competencies within team. Department is part of a regional group that is looking at processes / approaches / potential numbers with regards to UASC 	<ul style="list-style-type: none"> Successful in our Department of Education Bid. Leicestershire will be leading on a regional recruitment campaign for foster carers and supported lodgings specifically for UASC, if successful this will reduce the costs of placements - project is due to be completed in 18 months. Develop a recruitment and retention strategy - approved by Regional Project Board on 20 November 19. Recruitment of staff to Regional Project Team initiated - Project and Team Managers appointed Model agreed by Regional Project Board on 20 November 19. Recruitment of carers will start in May 2020. Senior managers engaging with representatives from Home Office 	4	3	12	<p>A heat mapping exercise has begun, led by LCC, to identify the different schemes operating across Leicester, Leicestershire and Rutland including location and numbers, to better assist collective system planning and coordination of support to these newer communities.</p> <p>We currently have 82 UASC under the age of 18 and 104 care leavers. This is an increase since the last reporting period. In March we had 5 UASC accommodated of which 1 was spontaneous, 2 through the National Transfer Scheme and 2 through dispersal hotels. The number of young people claiming to be under 18 who have initially been assessed as adults and placed in the dispersal hotels is increasing. We currently have 17 children who are in the process of being assessed, 7 have been formally assessed by the UASC team and all were identified as clearly being children. All will be accommodated and reflected in the data for April. This is an increasing concern as children accommodated through the dispersal hotels do not have the enhanced payment agreed for NTS UASC.</p> <p>The increasing number of UASC is creating sufficiency pressure on 16+ provision. We also have had an increased number of under 16 through the NTS and this adds further pressure on fostering sufficiency.</p> <p>An additional complexity is that a high % of UASC are 16/17 and therefore become care leavers within a short period of time. The funding for care leavers is further reduced and LCC have to provide full accommodation costs and Personal Allowance as majority do not have an outcome from the Home Office. The increasing number of care leaver is reflected in the Q3 and Q4 data showing an increase of 21. this represents a case load of a Personal Advisor.</p>	↔ Expected to remain high/red
1.11	CE	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.	5 (Decreased from 15)	3	15	<ul style="list-style-type: none"> The Treasury has shown commitment to the East Midlands Freeport (EMF) by designating the EMF tax sites. The Full Business Case (FBC) for EMF was submitted in April 2022. Leader of the Council as the nominated member to serve on the East Midlands Freeport Board. LCC to assume the role of Lead Authority and Accountable Body. Permanent Chair and Chief Executive have been appointed. 	<ul style="list-style-type: none"> Appointment of Executive delivery team to commence. Key partnership agreements. Sub-group structure. 	5	2	10	<p>The permanent chair of the Freeport Board was appointed in summer 2022 and the Chief Executive took up their post full-time in March 2023. Recruitment to an operational team has taken place. On March 30th the Government announced that the Freeport had been given formal approval to open for business. Its tax sites had been approved by the Government in March 2022.</p> <p>A cash flow loan was agreed from the County Council to be repaid from future income streams arising from retained business rates. A number of occupations on the 'EMAGIC' tax site in North West Leicestershire site are imminent which means funds for loan repayment will start flowing into the Freeport.</p> <p>Back office support to the Freeport is being negotiated as is the provision of other support services by partners. The Head of Internal Audit Service is meeting with his counterparts in other Freeports on 18th May to discuss their internal audit approach.</p>	↓ Expected to move to Medium/Amber
1.12	CE	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).	4	4	16	<ul style="list-style-type: none"> Development, and application of a new Infrastructure Policy for the Council. Ongoing establishment of collaboration agreement with district councils, including the establishment of legal agreements to underwrite/share the financial risk with districts. Development of alternative funding models including possible housing deals. 	Continuing to review.	4	3	12	<p>A review of the planning obligations policy has commenced but is reliant upon potential changes to the way planning obligations are secured which will be introduced through changes to the National Planning Policy Framework (NPPF) and Levelling Up And Regeneration Bill (LURB) the timescales for the implementation of changes are unclear and currently subject to public consultation.</p>	↔ Expected to remain high/red

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2. Health & Social Care Integration												
2.4	A&C C&FS PH	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	4	4	16	<ul style="list-style-type: none"> Emerging system and place model. BCF policy and process. Emerging PCN structures, INTs, care co-ordination and Home First. Existing partnership governance (Children and Families Partnership, SEND and Inclusion Board and Children and Young Peoples Design Group) Joint Commissioning Strategy Joint Solutions Panel 	<ul style="list-style-type: none"> Support an emerging system/place model through existing partnership governance (Tracy Ward) Review discharge arrangements by Newton Europe (Tracy Ward) Recruiting additional resources into reablement services via potential £2.3m Pathway 1 investment from health (Lisa Carter) Work taking place to explore where health contributions should and could be made in Childrens Services. 	5	2	10	<p>A&C</p> <p>Continuing NHS issues with Emergency Department and backlogs for elective care, the Council is managing its part of the system (discharge process) fairly well.</p> <p>Continuing to convert Pathway 1 (Independent Sector) into P1 (Homecare Assessment and Reablement Team (HART)) - focusing on lower level to build relationships and support increase in HART new starts, before progressing to more complex P2 cases. Progress remains good in terms of discharge efficiency from social care perspective - generally maintaining single figure waits for discharge. Ambulance waits no longer a key driver of delays. National data shows we are high performing in this area.</p> <p>Discharge grant funding previously allocated to support development of intake model for intermediate care is being allocated for 2-year period as part of BCF - this funding will enhance/support medium-term delivery. This includes further support to the Charnwood pilot which is currently working to improve community processes and timescales across HART and Therapy.</p> <p>Discharge to assess Newton Europe workshop review data is available and is being used across the system to support the Home First methodology. This will also support demand and capacity modelling for the remainder of the 3 R (recovery, reablement and rehabilitation) model work. Presenting findings and proposals for actions to chief officers from all system partners - proposals to be provisionally agreed within next 4-6 weeks.</p> <p>Continuous recruitment into reablement services, which will need to be escalated if intake model approved. Report to be presented to DMT to seek approval for this Home First intake model.</p> <p>C&FS</p> <p>Continued pressure on local authority and high needs budget and necessity to ensure health funding for children is forthcoming.</p> <p>PH</p> <p>No Update.</p>	<p>↑</p> <p>Expected to increase</p>
3. ICT, Information Security												
3.6	CR	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.	4	4	16	<ul style="list-style-type: none"> Ensure continuous monitoring of the live Finance and HR system Identification of upcoming 'backing out of workarounds' to assess any risk to the live system Embed the new support model 	<ul style="list-style-type: none"> Continue to improve the performance of the Finance, HR and Payroll system and supporting processes. Identification of upcoming 'backing out of workarounds' to assess any risk to the live system or the final go-live Managed Service Provider (MSP) Procurement. 	3	4	12	<ul style="list-style-type: none"> Continue engagement with Oracle and Mastek to reduce outstanding incidents and work towards further improvements to the system. Oracle Cloud Infrastructure health check completed and action plan being progressed. Operational finance review completion Development of People Hub – scoped out MSP Contract has now commenced and is bedding in. 	<p>↓</p> <p>Expected to move to Medium/Amber</p>

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3.7	CR	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.	4	4	16	<ul style="list-style-type: none"> • People - cyber eLearning, communications and awareness. • Technology - perimeter security, anti-virus, monitoring, filtering. • Process – Cyber Incident response plan. • Regular penetration testing and enhanced IT health checks conducted. • Quarter risk cyber updates to CR DMT and 6 monthly cyber updates to CMT. • Cyber Incident Response Retainer – contract with specialist partner to support a cyber incident. • PSN Compliance – 2022 submission in progress. • I&T Security Working Group – meets weekly to assign and resolve security related issues. • IT DR process & practise being reviewed. DR framework being reviewed. Close working arrangement in place between IT and BC teams through Steering Group and Working Groups. • "Cyber Security" standing item at quarterly RPG meetings to promote awareness and best practice. 	<ul style="list-style-type: none"> • Cyber Security Roadmap - plan of continuous improvement activity with the primary aim of further strengthening cyber defence, response and recovery capabilities. • PSN Certification Renewal 2022. • Continue to test department business contingency plans are resilient to a cyber incident. • Continue Disaster Recovery Testing Programme for Key Business Applications. 	3	4	12	<ul style="list-style-type: none"> • Implementation of the replacement backup solution is now complete and taking active backups of all scoped LCC systems. • Application submitted for PSN Certification Renewal and currently under review. In dialogue with assessor regarding clarification questions. • Business Continuity awareness sessions undertaken across the organisation. Learning points from testing reported directly to Resilience Planning Group. • Disaster Recovery (DR) testing ongoing. 	↔ Expected to remain high/red
4. Commissioning & Procurement												
4.2	E&T	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.	5	3	15	<ul style="list-style-type: none"> • Collect and analyse data and information • Specialist expertise/ consultancy support in place 	<ul style="list-style-type: none"> • Service delivery of eligibility assessments for mainstream and SEN students, including facilitating the appeals process. • Service delivery of reimbursements owed to operators for lost revenue against the Concessionary Travel scheme. 	3	3	9	<p>Whilst the risk's financial and relationship impacts have significantly reduced, and the County and City Councils have reached agreement in principle, during recent discussions with Arriva they submitted an additional element for consideration. A further meeting is scheduled for mid-May. Management consider it prudent to retain the risk on the Corporate Register until settlement is finalised.</p>	↓ Expected to move to Medium/Amber
4.3	E&T	If bus operators significantly change services due to wider external or economic pressures then there could be substantial impacts on communities accessing essential services and lead to required intervention under our PT Policy & Strategy.	5	4	20	<ul style="list-style-type: none"> • Engage and work with relevant partners 	<ul style="list-style-type: none"> • Continue to implement the new passenger transport policy and strategy - and review programme of services. • Support the county bus network through the Enhanced Partnership and EP Scheme. 	4	4	16	<p>The post covid bus market continues to be fragile with recovery challenging and slow. It is difficult to predict market conditions at present and it will take time to fully understand the impacts of short term initiatives from Government including the £2 fare cap initiative.</p>	↔ Expected to remain high/red
4.4	CR	If there is an actual or perceived breach of procurement guidelines then there may be a challenge which results in a financial penalty.	4	4	16	<ul style="list-style-type: none"> • Specialist procurement litigation support. • Guidance available via CSU for procurement activity across the Council. • Current spend control processes increase CSU involvement. • Internal legal support with contracting. • Current spend controls over £5000 referred to CSU. • Contract procedure rules part 4G of the constitution. 	<ul style="list-style-type: none"> • Review of any lessons learnt to further develop guidance and documents provided by CSU. • Identify approach to Capital Programmes. • Manage approach in line with the new legislation "Transforming Public Procurement" . • Audit assurance/compliance review. 	3	4	12	<ul style="list-style-type: none"> • Training and briefings for senior managers and procurement officers in departments to be provided . • Governance to be strengthened through the review of the constitution. • Further actions will be decided by the basis of the audit/assurance review. 	↔ Expected to remain high/red
4.5	E&T C&FS	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.	4	4	16	<ul style="list-style-type: none"> • Engage and work with other departments • Skilled and knowledgeable staff in place and resources regularly monitored • Team Communications (Meetings, One to Ones, APRs) 	<ul style="list-style-type: none"> • Home to school transport actions to mitigate risk 	3	3	9	<p>Fortnightly link meetings at service level are taking place. The key area of concern relates to early years children currently without EHCP who are going through EHCP assessment. There is a push in SENA to place as many of these children as possible in time for the 23/24 academic year. The later these come through, the bigger the impact on transport, as arrangements are likely to be less efficient and more expensive than they could be with appropriate planning time (alongside whole SENA cohort).</p>	↓ Expected to move to Medium/Amber
5. Safeguarding – category retired												
6. Category retired												

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7. People												
7.1	CR (ALL)	If sickness absence is not effectively managed then staff costs, service delivery and staff wellbeing will be impacted	4	4	16	<ul style="list-style-type: none"> Performance management team focusing on supporting compliance, complex mental health and complex long term cases. Ensuring the Wellbeing Action Plan reflects the needs of the workforce. Specific support to address financial wellbeing and the cost of living crisis. Winter wellbeing communications. Supporting the flu and covid-19 vaccination programme. Reporting to CMT, Employment Committee to identify issues and present solutions. Working to resolve current issues with reporting, following the implementation of Fusion. 	<ul style="list-style-type: none"> On going challenges with reporting data. A review of the capabilities of the reporting tool is ongoing. 	3	4	12	<p>Sickness absence rates are falling slightly quarter on quarter. However, this is significantly higher than the corporate target and remains a concern. Dedicated resources are focused on supporting managers to progress cases. A review of the wellbeing strategy and offer has been completed to ensure that it is fit for purpose. On top of a difficult recruitment and retention backdrop with high turnover in some teams, high levels of sickness absence add further pressure.</p>	↔ Expected to remain high/red
7.2	ALL	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.	5	5	25	<ul style="list-style-type: none"> Centralised approach to recruitment in place through EMSS. Support from Inspired to Care on recruitment for LCC Direct Services. Monthly reporting on agency staff and associated costs. Working with Corporate communications on a new Social Worker recruitment campaign. 	<ul style="list-style-type: none"> Continuous recruitment of staff where necessary. Development and implementation of workforce action plan. Staff recruitment and retention is a constant agenda item in management meetings. The Department will consider options within the Recruitment and Retention Incentives Policy for Hard-to-Fill Posts policy. The Department also has a recruitment board where all posts need to go before recruitment commences. Building focus on emotional welfare of social workers to aid retention and reduce burn out. Scoping future demand to identify capacity required medium to long term. Plan to over recruit to permanent posts to ensure longer term impact. Plan to create additional post to help drive centralised approach to improve recruitment of social work staff. Further development of the apprenticeship scheme. Implementation of application via CV. Exploring the use of Graduates. Development of departmental training and development programme. Ensure that our resources (physical, financial, human and intellectual) are managed in an effective and compliant manner (including procurement of contracts) to support optimised delivery of services. Ensure business continuity and resilience arrangements are maintained, effective and communicated. 	3	5	15	<p>Risks currently scoring 15 and above</p> <p>C&FS Recruitment and retention continues to challenge. We have a well-coordinated response to reduce risk. We have a new project, international recruitment, once further developed might reduce risk plus the Government has recently produced some proposals around controls to the agency market - if implemented as suggested have a likely to impact social care recruitment.</p> <p>CR Feasibility of being able to offer incentives for apprenticeships being looked into.</p> <p>E&T Implementation of application via CV now in place. Guidance was published in recent managers digest.</p> <p>A&C Affecting a number of areas due to be several reasons including national shortages, agency shortages, pay etc.</p> <p>CE Career pathways in place to support employee progression including social worker apprenticeships.</p> <p>The 2023/24 workforce plan is being developed - will contain six key strands to improve recruitment and retention. Once agreed the plan will be monitored at bi-monthly Workforce Board meetings to ensure progress is made.</p> <p>L&D delivery plan for 2023/24 includes ongoing commitment to support specific staff (ASYEs, AMHPs, BIAs) and develop specialist legal training. Work is underway to develop mechanisms to ensure monitoring of training completion across the department.</p> <p>Risks currently scoring below 15</p> <p>PH Services have a continuing need to recruit suitably qualified staff to replace those who leave (e.g. retirement and staff moving to other employment).</p> <p>Salaries are currently not as attractive as at other public sector organisations so need to offer other benefits.</p> <p>PH This risk has been removed for Public Health.</p>	↔ Expected to remain high/red
			5	4	20	<ul style="list-style-type: none"> Monthly reporting on caseloads and supervision policy. Demand continuously analysed to inform growth assumptions. Delivering a dedicated recruitment and retention strategy. Successful partnership with frontline. 		3	3	9		
			4	5	20	<ul style="list-style-type: none"> Recruitment and Retention Board to oversee the progress of Recruitment and Retention projects which are part of the People Strategy and monitor effectiveness of interventions Agreed recruitment incentives policy. 		3	3	9		
			4	4	16	<ul style="list-style-type: none"> Comms and People Services support available for hard to fill post. Training and development programme in place and regularly monitored. 		3	3	9		
			3	4	12			3	3	9		

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7.3	A&C	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.	5	4	20	<ul style="list-style-type: none"> Ensuring current Council fees are based on a realistic assessment of the actual costs of providing care. Payment of above inflation increases to providers. Enhanced comms and engagement with providers. Identification and monitoring of at risk providers in liaison with CQC. Work of the Quality Team. Risk rating and monitoring of care homes. Reporting from the Care Homes Tracker. Monitoring and co-ordination through the Provider Capacity Cell. Inspired to Care support for the workforce further development. 	<ol style="list-style-type: none"> Continue with enhanced level of communications and engagement with providers which has been in place since 2020 (Kate Revell) 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 (Kate Revell, Natalie Smith) Inspired to Care to support workforce development (Michelle Reynolds) Commissioning programme in development to explore alternative care models (Kate Revell) Identify the 'fair cost of care' and publish a market sustainability plan (Kate Revell) 	5	2	10	<p>Provider bulletin and forums are in place, with development of enhanced communications to providers forming part of the Policy, Comms and Engagement Workstream. QA risk tool launched and ongoing QA development forms part of the Market Sustainability workstream. AD and HoS meet bi-weekly with QA lead to ascertain market risks.</p> <p>Fair Cost of Care exercise and Market Sustainability Plan (MSP) completed for providers of residential care 65+ and home care 18+. Both submitted to DHSC by the national deadlines and published on the Council website. National funding related decisions based on the MSP are yet to be advised.</p> <p>Providers have been advised of inflationary uplifts for fees applicable for 2023/24. Financial matters feature on monthly provider calls to ensure open dialogue. The level of Local Authority Assisted Funding payment requests indicates some provider concerns around cost pressures arising from inflation.</p> <p>Commissioning priorities in development via the Transforming Commissioning Programme.</p> <p>Market Position Statements to be considered by Finance and Performance DMT on 29 March 2023 prior to publication in April 2023.</p>	↔ Expected to remain high/red
7.4	A&C	If LCC's Charging Policy is challenged on the principles of the Norfolk Ruling then there could be judicial review leading to significant financial impact and reputational damage.	5 <small>(Decreased from 20)</small>	3	15	<ul style="list-style-type: none"> Government regulations and guidance. Review of LCC's Charging Policy. Policy will reflect any key findings from Ombudsman findings and Government guidance. 	Continuously follow Government regulations and guidance. Ensure that the risk is addressed during a review of LCC's Charging Policy. Policy will reflect any key findings from Ombudsman findings and Government guidance.	3	4	12	Charging policy is being reviewed as part of the Financial Improvement Pathway work. The revised policy is proposed to go to Cabinet late summer/early autumn.	↔ Expected to remain high/red
7.5	A&C	If there is continuing increase in demand for assessments (care needs and financial) then it may not be met by existing capacity.	4	5	20	<ol style="list-style-type: none"> Explore streamlining and digitalising assessment processes (Steve Pugh) Recruit additional staff and/or redeploy existing staff to support assessments (Heather Pick) 3 Conversations Model - promoting strength/asset-based approaches to reduce demand for assessments (Rachel Cheney, Mandy Ewart) Explore procuring additional assessment resources / software (Steve Pugh) 	<ol style="list-style-type: none"> Improvements to online financial assessments. Social Care Reform team are in place. Four 3Cs hubs. Insights module procured. 	3	2	6	<ol style="list-style-type: none"> Improvements to online financial assessments currently in test with a view to go live in 2 weeks. This includes more explanations around usage, simplification of disability related expenditure (DRE) information collection and clarity on declaration. Automation work with UIPath is progressing and a statement of works from the supplier has been received. I&T have been able to roll forward funding for this pilot into 23/24. Risk related to introduction of care accounts. This part of Social Care Reform has been delayed for at least 2 years. The team are in place but will be undertaking other review duties until needed for care accounts. Four 3Cs hubs now live (Assertive Inreach; Dom Review; Bosworth, Oadby and Wigston (BOW); Customer Service Centre) with two further sites planned (C&PD team and Homefirst). Regular progress review meetings - good progress in establishing connectors for the sites (including Local Area Coordinators) which facilitate a collaborative approach to resolving needs. There is now a patch-based innovation site across BOW, which also incorporates Dom Review and CSC Tiers 1 and 2. Insights module from Operations Control Center to analyse and visualise ContrOcc data procured. Initiation meeting with Supplier 27th March and April target (post Easter) to have early dashboards available. Examining Client Finance Portal and Billing portals as elements that could still be taken forward to drive self-service as part of financial pathway improvements. Meeting with supplier scheduled 17th April. <p>Possible ringfenced grant to be provided to support management of assessment demand and waiting times.</p>	↔ Expected to remain high/red

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			Impact	Like lihood	Risk Score			Impact	Like lihood	Risk Score		
7.6	A&C	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.	5 (Decreased from 20)	3	15	<ul style="list-style-type: none"> Self-Assessment developed. Temporary roles coordinating our Self-Assessment and Improvement Plan. 	<ol style="list-style-type: none"> Prepare a clear, engaging and well-informed Self-Assessment to set out our strengths and areas for improvement in relation to delivery of Care Act duties. Develop and monitor delivery of an Improvement Plan to address the areas for improvement identified via Self-Assessment 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 Consider ongoing resource requirements, as the current roles coordinating our Self-Assessment and Improvement Plan are temporary (due to expire on 12 September 2023) 	5	1	5	<p>1. Self-Assessment shared it with East Midlands Association of Directors of Adult Social Services (EM ADASS) for regional evaluation. Shared with SC Reform Board members on 14/03, with Board approval received. Engagement of service users/carers and partner agencies is ongoing, with summary of all findings from all engagement activities (internal and external) finalised and shared with Workstream and Board in April.</p> <p>2. Improvement Plan revised based on feedback from SC Reform Steering Group - reviewed by Workstream on 13.04 and approved by SC Reform Board in April. Following SC Reform Board approval of the Self-Assessment and Improvement Plan, a summary of these has been shared with staff at the Staff Briefing on 27.04, with staff to be requested to consider how they can support the improvement areas and to feedback to Strategy and Planning Team and/or Lead Practitioners any requirements for further guidance or training.</p> <p>3. Initial draft checklist developed to ensure all necessary preparations undertaken following announcement of inspection visit. Reviewed by Assurance Workstream on 13/04, with approval of Board sought 19/05.</p> <p>4. Quality Improvement Officer from Strategy and Planning Team is supporting Practice Development Cycles as well as other continuous service improvement work (e.g. Mental Capacity Act initiatives). Performance Manager role supporting remaining preparations for CQC Assurance outlined above. Approach to monitoring implementation of the Improvement Plan and keeping the Self-Assessment up-to-date on an ongoing basis - agreed with Workstream on 13.04, and approved by Board - this will inform future resourcing requirements around CQC preparation.</p>	↔ Expected to remain high/red
7.7	C&FS	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). This leaves the Council vulnerable to complaints of mal-administration 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.	5	5	25	<ul style="list-style-type: none"> Working with strategic partners Case managers 	<ul style="list-style-type: none"> Transforming Send and Inclusion in Leicestershire (TSIL) programme Case managers continue to liaise with the families 	4	4	16	Regarding timeliness of new plans and Annual reviews, LCC have agreed additional interim capacity of SEN officers and Education Psychology. This should help to address issues of timeliness. Some progress made with sufficiency but risk of students without a school place for September remains.	↔ Expected to remain high/red
8. Business Continuity												
8.1	ALL	If suppliers of critical services do not have robust business continuity plans in place, then the Council may not be able to deliver services.	5	3	15	<ul style="list-style-type: none"> Budget impact assessed. Framework/ contract in place. Management and monitoring of contract. CFS have reviewed its current Capita One business continuity arrangements. Appointed - a programme manager to lead on review of Capita modules and all inter dependencies across the software systems that CFS use. 	<ul style="list-style-type: none"> Disaster recovery steering group. Supplier Forums Business Continuity plan toolkit and template send to critical suppliers. 	5	3	15	Ongoing discussions with service departments and CSU about further embedding BC plans in procurement process and contract management arrangements including risk appetite of services dependent on critical services.	↔ Expected to remain high/red

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			Impact	Like lihood	Risk Score			Impact	Like lihood	Risk Score		
9. Environment												
9.1	E&T	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	5	4	20	<ul style="list-style-type: none"> Departmental working group in place Environmental and climate change risk assessment in place and regularly reviewed Ash Dieback Action Plan for Leicestershire. Inspection of all LCC trees adjacent to the highway (including Ash) are up to date and any priority works passed through to the Operations Team. 	<ul style="list-style-type: none"> Further surveys carried out in summer 2022 show that 58% of surveyed trees showed symptoms of ash dieback. Tender out for a specialist operator to complete all Ash Dieback works from 2023 for a five-year period. 	5	2	10	No Update.	↔ Expected to remain high/red
9.2	E&T	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	5	4	20	<ul style="list-style-type: none"> Business Continuity Plan in place and regularly reviewed Engage and work with relevant partners Management and monitoring of contract 	<ul style="list-style-type: none"> Manage EFW arrangements, landfill and wood waste contracts Develop Bardon WTS 	4	2	8	<ul style="list-style-type: none"> The new waste treatment contract for Energy recovery at the Newhurst facility has commenced and waste is gradually being migrated to the new plant as it becomes fully operational during May/June 2023. Further remedial works are required at Bardon, so whilst operational it is still a work in progress before fully up and running. 	↓ Expected to move to Medium/Amber
9.4	E&T	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.	4	5	20	<ul style="list-style-type: none"> Corporate/ departmental strategies and policies in place and adhered to. Environmental and climate change risk assessment in place and regularly reviewed. 	<ul style="list-style-type: none"> Maintain and review the Council's Climate Change Risk Register. Co-ordinate and oversee work to deliver the commitments in the Council's Environment Strategy and Action Plan 	4	3	12	<ul style="list-style-type: none"> Staff capacity and availability of sufficient funding to carry out required work a concern, this is stalling progress. Exploring options for how best to take the work forward. Ongoing discussions with local universities exploring how they might be able to collaborate with LCC on developing solutions for adapting to the impacts of climate change. 	↔ 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

*Target risk score - This is the desired score to be achieved after additional mitigation procedures/controls have taken place.

**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:

- o A horizontal arrow shows that not much movement is expected in the risk.
- o 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.
- o 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 MAY 2021

CRR Risk No	Dept.	Risk Description	Current Risk Score	Reason	Date of Removal
2.2	All	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	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.	04-Jun-21
			14/L4		
2.3	All	Challenges caused by the Welfare Reform Act 2012 and the Welfare Reform and Work Act 2016.	16	This will be managed at department level.	05-Nov-21
			14/L4		
1.3	CE	If the Council fails to maximise developer contributions, then there could be a failure to fund corporate infrastructure projects.	16	Merge two similar individual risks into one owned by the Head of Planning, Historic and Natural Environment.	05-Nov-21
			14/L4		
1.1	CE	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	Merge two similar individual risks into one owned by the Head of Planning, Historic and Natural Environment.	05-Nov-21
			14/L4		
3.6	CR	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	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.	05-Nov-21
			15/L3		
5.1	C&FS	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	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.	05-Nov-21
			15/L5		
7.4	A&C	Social Care Reform, implementation of charging reform and assurance process	25	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.	06-Jan-23
			15/L5		
A	ALL	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.	12	The World Health Organisation has downscaled its COVID risk and any impacts on the County Council will be managed by departments.	26-May-23
			14/L3		

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 <u>i.e.</u> front-page headlines, TV. Possible criminal, or high profile, civil action against the Council, <u>members</u> 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))