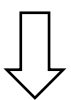
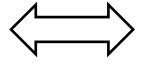
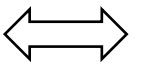
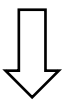
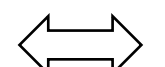


CRR Risk No.	Dept./ Function	Risk Description	Current Risk Score			*Target Risk Score			Update August 2023	** Direction of Travel (Residual Risk Score over the next 12 months)
			Impact	Like lihood	Risk Score	Impact	Like lihood	Risk Score		
<b>Cost of Living Crisis</b>										
C	ALL	If the current 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	5	2	10	Although the level of support given to residents for the cost of living crisis continues, there is still a risk that when the funding stops the impact on the council will be significant which will result in the County Council having to take some difficult decisions.	↔ Expected to remain high/red
<b>1. Medium Term Financial Strategy</b>										
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	5	3	15	<p>The Council's financial position continues to be extremely challenging. A £9m overspend is being forecast for the following year driven by rising costs of both children's and adult social care (unit costs of placements more so than numbers). Inflation is taking its toll and as yet the full impact on the financial position is yet to unwind.</p> <p>A revenue budget shortfall of £90m is expected by 2026/27 without serious further savings measures being implemented and additional support from Government. Increasingly, many other authorities, including some traditionally considered to be well run financially, are stating that they are moving into section 114 territory.</p> <p>In terms of capital, there is no room for additional schemes and programmes will be restricted to those funded from capital grant and external funding only.</p> <p>We continue to have ongoing dialogue with Government ministers to make our case and seek additional financial support. It is imperative that savings already under consideration are progressed and delivered and further efforts are taken to identify new savings areas. Growth in demand for services needs to be scrutinised to ensure projections are robust and that everything that can be done to keep growth to a minimum is being done.</p> <p>If progress towards resolving the revenue position is limited, spend controls providing greater scrutiny on individual budgetary decisions will need to be put in place.</p>	↔ 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	4	4	16	<p>The number of children in care remains stable overall, however there has been an increase in our children requiring residential provision and in the last 3 months we have accommodated a number of children under 10 in residential. This is due to presenting need and is an appropriate use of residential - this is requiring additional staffing for the initial period of time and then to be reviewed. We track high cost placements which include 2:1 and solo staffing for our most complex children.</p> <p>Residential review group (RRG) 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 Authority (IFA) 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. The recruitment of foster carers continues to be difficult nationally, and whilst LCC are having challenges we are achieving stronger results than some regional and comparative authorities. Still, it is unlikely that the target of 25 will be met this year.</p>	↔ Expected to remain high/red
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	4	4	16	<p>Transforming Send and Inclusion in Leicestershire (TSIL) programme well underway - there are 12 workstreams, with 2 through design and 2 more to next phase</p> <p>Aim of programme remains to reduce deficit on High Needs Block.</p>	↔ Expected to remain high/red
1.7	CR	If the Council is not compliant with the HMRC IR35 regulations regarding the employment status for tax of self-employed personnel, then there is a risk of backdated underpaid tax and NI, interest and large financial penalties.	5	4	20	4	3	12	<ul style="list-style-type: none"> <li>Issues identified to monitor compliance including –                             <ul style="list-style-type: none"> <li>- IR35 tracking when contracted agency is not used.</li> <li>- Employment status for tax identification for both sole traders and personal services companies from the start of work including short term/informal/non-contracted appointments.</li> <li>- Completion of accurate IR35 monthly spreadsheet by service areas within LCC departments</li> </ul> </li> <li>National Driver Offender Retraining Scheme (NDORS) employment status classification being reviewed.</li> </ul>	↔ Expected to remain high/red

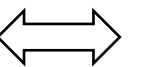


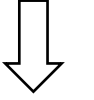
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1.9	ALL	If the immigration status of refugees and asylum seekers (including unaccompanied asylum-seeking children (UASC)) who arrive in the County is not resolved, then the Council will have to meet additional long-term funding in relation to its housing and care duties.	5	5	25	4	3	12	A LLR wide multi-agency meeting continues to meet to coordinate a system wide approach to managing migration, resettlement and asylum. The focus is to understand and manage current demand on services and plan ahead for future challenges.  We now have 90 UASC Care and 114 UASC Care Leavers. This is a significant increase and is due to the increasing numbers coming through National Transfer Scheme (NTS) and the dispersal hotel route. In June we had 20 requests for assessment from the dispersal hotel and also currently have 15 Letter Before Action which is a legal challenge to our Brief Assessment. Financially this pattern has two significant impacts, referrals from dispersal hotels does not provide the enhanced payment as through NTS. Also our cohort of Care Leavers is growing faster than our Children In Care due to children arriving ages 16/17 and therefore becoming a care leaver within a short period of time, incurring significant support costs in line with our duties to care leavers. This duty continues until the young person is 25 or the Home Office makes a determination decision.	↔ 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	3	15	5	2	10	The East Midlands Freeport has been operational since March 2023 following final approval by the Government of its business case, but the Freeport's incorporation as a company, scheduled for November 2023, is awaiting clarification from DLUHC and the business rate collection authorities on some technical issues which affect all Freeports. In its role as lead authority and accountable body for the Freeport, the County Council continues to assist the Freeport Board and partners in the process of company incorporation.	↓ 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	4	3	12	The Council continues to be successful in securing monies through new developments but there are a number of Developers seeking to renegotiate existing S106 Agreements on viability grounds. Viability issues are likely to become more prominent with the introduction of Biodiversity net gain planning and escalating costs.	↔ Expected to remain high/red
<b>2. Health &amp; Social Care Integration</b>										
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	5	2	10	A&C  Significantly reduced pressure on ambulance handovers and pressure on Emergency Departments, the Council is managing its part of the system (discharge process) very well.  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.  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 ongoing MDT pilot which is currently working to improve community processes and timescales across HART and Therapy.  Following the Discharge to assess Newton Europe work 3 workstreams are now in place and an intermediate care steering is now in place. Focus on work for Intake model for home care. Reduced use of independent beds to support discharge. Improved decision making.  Continuous recruitment into reablement services is underway and working well for implementation of the intake model.  C&FS  Health funding into Department still doesn't equate to spend, therefore department needs to formulate a plan to engage Health in providing adequate funding both in High Needs and Social Care.  PH  No Update.	↓ Expected to move to medium/amber

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<b>3. ICT, Information Security</b>										
3.6	CR	If the updates to the ORACLE Fusion system do not meet the County Council's requirements, then there is a risk of work arounds continuing and efficiencies not being delivered.	4	4	16	3	4	12	<ul style="list-style-type: none"> <li>Development plan in place for Fusion for 2023/24, which includes the recommendations from the NAMOS Solutions (support partner) report. Some risks to delivery, i.e. BAU, partner projects.</li> <li>Work is well underway on improvements to the HR module and an independent health check of the system has been carried out and a report received.</li> <li>New recruitment module implemented – smooth launch and hypercare worked well.</li> </ul>	 Expected to move to medium/amber
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	3	4	12	<ul style="list-style-type: none"> <li>Software firewall to be deployed on servers. Currently in test on 50 servers to assess impact of a wider rollout.</li> <li>PSN compliance achieved.</li> <li>Business Continuity awareness sessions almost complete across the organisation. Learning points from testing reported directly to Resilience Planning Group.</li> <li>Disaster Recovery (DR) testing ongoing.</li> </ul>	 Expected to remain high/red
3.8	CE	If there is a failure to provide appropriate strategic and operational business intelligence then the council's policy and strategy will not be evidence-led and day-to-day service delivery, costs and reputation may be negatively impacted, including meeting statutory requirements.	4 <b>NEW</b>	4	16	4	2	8	<ul style="list-style-type: none"> <li>Improved data infrastructure and necessary culture change to further drive evidence-based decision making in the council.</li> <li>Corporate Data Strategy Review underway, but progress is slower than hoped with data infrastructure/architecture not being addressed at the pace required.</li> <li>Capacity and data architecture/infrastructure is a concern as the Business Intelligence (BI) data server is reaching capacity and some processes are starting to fail. No capacity to take on new datasets/systems.</li> <li>Unprecedented levels of demand due to system changes, statutory changes, and large-scale transformation projects.</li> <li>Options for interim measures and longer-term solution (to be informed by the Data Strategy) are being explored. A business case for investment is being developed.</li> <li>Limited capacity for scale of change (particularly in BI Development Team) so external support and external architecture skills/advice will be required.</li> </ul>	 Expected to remain high/red
<b>4. Commissioning &amp; Procurement</b>										
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	3	3	9	<p>The risk's financial and relationship impacts have significantly reduced and our exposure to unaffordable financial impacts are minimal. However the County and City Councils have still to reach agreement in principle, of methodology and exact costs. The County are currently awaiting written confirmation on figures from the City by 15th September. Once agreement has been reached they will present to Arriva for consideration.</p> <p>Agreement to retain on the Corporate Risk Register until resolution.</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.	4 (Decreased from 20)	4	16	4	4	16	<p>The post covid bus market continues to be fragile with recovery challenging and slow. However, Government are driving forward a number of initiatives such as an extension of the £2 fare cap, promotion of concessionary travel use and Bus Service Improvement Plans Plus (BSIP+) funding for local transport authorities to support and protect services. The immediate impact has been reduced and these initiatives will help to ease pressure in the short term (12-24 months), but it is difficult to predict the longer term benefits and what the eventual new commercial market norm will be.</p>	 Expected to remain high/red



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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	3	4	12	<ul style="list-style-type: none"> <li>• Liaising with legal to finalise a process on how to deal with a challenge, create a protocol which will be subjected to a regular, on-going review.</li> <li>• There will be new legislation in 2023 which will demand more transparent decision making and improved monitoring of contracts (this has not yet been issued). 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. Governance to be aligned with new legislation.</li> <li>• Four training sessions have been delivered to cover all departments and will now be offered on an ad hoc basis.</li> <li>• Further actions will be decided by the basis of the audit/assurance review.</li> </ul>	↔ 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	3	3	9	Tracking of EHCP progress with SENA reflects a general improvement in the key transition year groups, so this concern is reduced. The new area of concern relates to new assessments coming through the system, insufficiency of special places resulting in children being placed further away and impacting transport costs. The impact here is likely to be moderate and dispersed. Regular liaison between the service areas continues.	↓ Expected to move to medium/amber
5. Safeguarding – category retired										
6. Category retired										
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	3	4	12	<ul style="list-style-type: none"> <li>• The support for management of absence cases remain in place.</li> <li>• IT and BI are looking into an interim solution to the ongoing challenges with reporting data.</li> <li>• Corporate communications planned.</li> </ul>	↔ 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	3	5	15	<p><b>Risks currently scoring 15 and above</b></p> <p><u>C&amp;FS</u></p> <p>Continued rigorous attention of R&amp;R. Currently waiting impact of activity recruitment from social workers abroad - that aims to have a significant reduction in social worker vacancies, together with other schemes continuing; meaning newly qualified social workers are joining the workforce, should start to have an impact going into the next quarter. We are waiting for final proposals from Government in relation to the agency market and dependant on those proposals this could have a significant positive impact on social work R&amp;R, which is targeted for April 2024.</p> <p><u>CR</u></p> <ul style="list-style-type: none"> <li>• Review and streamline current apprenticeship processes and develop a database to capture data more accurately than the Government’s Digital Apprenticeship System.</li> <li>• Increase Levy spend by increasing the number of high value, higher level apprenticeships across the organisation</li> <li>• Align apprenticeships with other areas of development -Workforce Planning/Succession Planning/Talent Strategy/Recruitment and Retention (This will be picked up within the next People Strategy).</li> <li>•Further promote the breadth of apprenticeships available and their benefits, through the development of a comms plan, with a specific focus on events in the calendar, such as National Apprenticeship Week and Learning at Work Week. We will also use this as an opportunity to highlight that anyone can undertake an apprenticeship, currently the age range of apprentices at LCC is from 17 years to 61 years.</li> <li>• Explore other areas within the wider Leicestershire workforce where we can transfer levy funds to support and fund apprenticeships (We have been doing this for some time in the Early Years sector).</li> </ul>	↔ Expected to remain high/red
			5	4	20	3	3	9		

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			4	5	20	3	3	9	<p><u>E&amp;T</u></p> <p>Insufficient resources still affecting a number of areas across the department particularly impacting on priority and front line services. Lots of activity including a renewed recruitment campaigns and working with Reed to bring in additional suppliers.</p>	
			4	4	16	3	3	9	<p><u>A&amp;C</u></p> <ul style="list-style-type: none"> <li>Occupational Therapy (OT) staff now hard to recruit despite ongoing recruitment in 22/23. Business case re MP to be submitted to HR.</li> <li>Career pathways in place to support employee progression including social worker apprenticeships. New OT apprenticeship just launched.</li> </ul>	
			3	4	12	3	3	9	<p><u>CE</u></p> <p>Ongoing recruitment problems mean a continued need for locum support (legal) - agreement to 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.</p>	
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	5	2	10	<p>The Council's intentions for use of the Market Sustainability and Improvement Fund (MSIF) have been communicated to DHSC and subsequently the capacity plan was submitted in June 2023.</p> <p>A focus on management of provider fee requests is being adopted via a multi-strand programme including a placement panel. MSIF will enhance residential rates and enable payment of a nursing band. An MSIF Workforce Fund has recently been announced for which the department is considering allocation.</p> <p>Commissioning priorities in development via the Transforming Commissioning Programme, a Programme Manager was recruited in August to support the programme.</p> <p>The Market Position Statement was published on the Council website on 15 June 2023, with content to be reviewed and revised every six months as a minimum through a defined process.</p>	<p>↔</p> <p>Expected to remain high/red</p>
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	3	15	3	4	12	<p>Charging policy is being reviewed as part of the Financial Improvement Pathway work. Proposed changes will be discussed at DMT on the 06 September. The revised policy will go to Cabinet for approval early in 2024.</p>	<p>↔</p> <p>Expected to remain high/red</p>

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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	3	2	6	<p>Improvements to online financial assessments have been implemented. A video has been added to the website showing people how to complete the assessment. Automation opportunities on the finance pathway are being developed</p> <p>Bosworth, Oadby and Wigston (BOW)/Harborough Innovation site is now live. Ended relationship Partners For Change and managing innovation internally, a new Part Time Lead Practitioner resource will help lead this. Have three working groups, performance process &amp; recording to drive the process forward. In December an evaluation of the pilot will take place, if approved full roll out of 3C's model from January 2024. We are measuring the impact of 3C's and learning from lessons learned.</p> <p>LCC data has been processed through Insights and this is being used in the diagnostics work on the financial improvement pathway to understand process pinch points and how assessments can be prioritised more effectively, the findings of the diagnostics will be reported to the Social Care Reform Board on 12 September to inform next steps.</p> <p>The Market Sustainability and Improvement Fund (MSIF) Workforce Fund is intended to enable local authorities to make tangible improvements to adult social care, in particular to increase social care capacity through increasing social care workforce capacity and retention, reducing social care waiting times and increasing fee rates paid to social care providers.</p> <p>The waiting list for Care Assessments is being addressed and fell to 1,048 at 31/07/23 from 1,575 in January 2023.</p>	 Expected to remain high/red
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	3	15	5	1	5	<p>The first version of the Self-Assessment is complete, with the first quarterly review and minor updates completed in July. Feedback from the reviews of the Self-Assessment and the Annual Conversation, will inform the next quarterly review taking place September 2023. An editorial group will be established to review the Self-Assessment on the agreed quarterly cycle. The Improvement Plan will be updated with actions recommended through the Annual Conversation, delivery of improvement activities will be monitored through agreed governance processes.</p> <p>Inspection Visit Action Plan/Checklist developed and approved by Workstream and Board. The action plan was successfully tested during EM ADASS Annual Conversation Visit (9th-10th August), minor amendments based on the experience and feedback from colleagues have been made. The action plan will be further informed by lessons from the CQC's 5 local authority inspection pilots taking place up to September 2023. Support material, such as a governance process for information requests and communications templates, is being developed and is expected to be approved by Workstream and Board September 2023.</p> <p>Recruitment of a permanent Quality Improvement Officer is complete and the Performance Manager role has been extended for a year - this provides the resources required for at least the next year.</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) then 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	4	4	16	<p>Work through the Transforming Send and Inclusion in Leicestershire (TSIL) programme will significantly increase our grip around case management and throughput accordingly. These changes are being implemented in a remodel of the SENA service in September '23. We are also taking a data-driven and evidence-led approach to fully understand the resource required in the SENA service to fully meet our statutory duties in a timely way which will be completed in late September.</p> <p>Sufficiency challenges remain for the 23/24 academic year, though the work that the service and TSIL programme has put it to place reduced the number of children without a placement from the previous academic year. There is already ongoing work in the TSIL programme to ensure we are ahead of the game for September 2024 to mitigate this risk, and are using the new platform of data through the TSIL programme to build a data-driven forecasting an sufficiency approach for subsequent years.</p>	 Expected to remain high/red
7.8	All	If we fail to develop, implement and maintain robust health & safety systems then there is a risk of breach and potential dangerous occurrences	5	3	15	4	2	8	<p>Health and Safety has confirmed that the general trend in RIDDORS is rising. Action plan(s) are being developed with departments and Health and Safety colleagues.</p>	 Expected to move to medium/amber

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<b>8. Business Continuity</b>										
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	5	3	15	A process of reviewing Critical Suppliers Business Continuity (BC) plans is ongoing. The Resilience and Business Continuity Team, in partnership with contract managers are working with those providing 'low' level of assurance to implement changes. Feedback is given to providers whose plans return 'high' or 'medium' levels of assurance; departments are then encouraged to work with these providers to implement changes. Internal BC plans are being reviewed and plan holders consulted, there will be a renewed focus on loss of critical IT systems and widespread power outages.	Expected to remain high/red
<b>9. Environment</b>										
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	5	2	10	2023 survey currently underway with results expected in the Autumn.  Specialist contractor has been appointed to undertake complex tree works and any surplus works not able to be carried out by the in-house operations team.	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	4	2	8	• 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 resolves teething issues and gets up to full speed.  • Some remedial works are expected to be required at Loughborough.	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	4	3	12	Seeking additional staff resources to enable progress to be made. Recently submitted proposal with one of the local universities to access research support to undertake some tasks that would progress elements of developing a local climate adaptation strategy. LCC participating on Defra task and finish group developing a pilot template for local authority reporting on climate adaptation, which is providing useful insight into what will be expected by future reporting and what and how other local authorities are taking action on climate risks.	Expected to remain high/red
9.5	E&T	If there are significant changes / clarifications to legislation, policy or guidance then performance could be impacted and cost increases within waste disposal.	4	4	16	0	0	0	Increase in impact and therefore escalation to the CRR due to treatment of Bulky Waste - waste upholstered domestic seating (WUDS) containing persistent organic pollutants (POPs) - sofas etc.  • Currently assessing financial and haulage impacts and how these can be minimised going forward.	Expected to remain high/red
<b>10. Category Retired</b>										

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 SEPTEMBER 2021

CRR Risk No	Dept.	Risk Description	Current Risk Score	Reason	Date of Removal
2.3	All	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.	05-Nov-21
1.3	CE	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.	05-Nov-21
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 14/L4	Merge two similar individual risks into one owned by the Head of Planning, Historic and Natural Environment.	05-Nov-21
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 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.	05-Nov-21
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 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.	05-Nov-21
7.4	A&C	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.	06-Jan-23
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 14/L3	The World Health Organisation has downscaled its COVID risk and any impacts on the County Council will be managed by departments.	26-May-23
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.	9 14/L3	The impact and likelihood score have been reduced and the risk will be managed within the project team in CFS.	22-Sep-23



### 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>	1	2	3	4	5
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 Very Rare/Unlikely	2 Unlikely	3 Possible/Likely	4 Probable/ Likely	5 Almost certain

#### Likelihood\*

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