

Name	Description	Category	Current Impact	Current Likelihood	Current Risk Score - Calculated	Target Likelihood	Target Impact	Target Risk Score - Calculated	Assurance Status	Direction of Travel	Owner!	Existing / New and Developing	Related Risk Copy
<b>Budget - LCC</b>	<b>Funding and maintaining financial resilience</b>	<b>Risk</b>	<b>3 - Major</b>	<b>3 - Probable</b>	<b>Medium</b>	<b>1 - Hardly Ever</b>	<b>3 - Major</b>	<b>Low</b>	<b>Substantial</b>	<b>Static</b>	<b>Andrew Crookham</b>		<b>Budget - LCC</b>
Post Covid Economic Landscape - Brexit, Shipping, material costs etc.		Control										New and Developing	Budget - LCC
Assessment of our Financial resilience.		Control										Existing	Budget - LCC
Balanced Budget for 2021/22		Control										Existing	Budget - LCC
Directorates looking at financial stability		Control										Existing	Budget - LCC
Fair funding Review		Control										New and Developing	Budget - LCC
Health & Social Care White Paper		Control										New and Developing	Budget - LCC
Identification of deep dive reviews as part of the process, and introduction of benefits realisation for the transformation programme, to support longer term sustainability		Control										New and Developing	Budget - LCC
Improvements to the management of the capital programme including a 10 year affordable programme, introduction of a new challenge process for 2020/21 and dedicated monitoring reports		Control										New and Developing	Budget - LCC
Introduction from February 2020 of a new, clearer Medium Term Financial Strategy, setting out the council's financial context and steps to longer term financial sustainability.		Control										Existing	Budget - LCC
Leveling Up White Paper		Control										New and Developing	Budget - LCC
Linked outcomes of Transformation Programme into financial sustainability		Control										Existing	Budget - LCC
Refinements to the revenue budget monitoring process including monthly exception reporting to CLT, and a further public report to be introduced in 2020/21, to increase timeliness and accuracy of figures		Control										Existing	Budget - LCC
<b>Serco Contract</b>	<b>Exit of Serco contract ending and transition into the new arrangements</b>	<b>Risk</b>	<b>4 - Critical</b>	<b>2 - Possible</b>	<b>Medium</b>	<b>1 - Hardly Ever</b>	<b>4 - Critical</b>	<b>Medium</b>	<b>Substantial</b>	<b>Static</b>	<b>Andrew Crookham</b>		<b>Serco Contract</b>
Implementation of the programme / project plan with key milestone dates.		Control										New and Developing	Serco Contract
Refresh governance arrangements and reporting lines		Control										New and Developing	Serco Contract
Full sessions and buy in from CLT / OSMB / Executive / Leader		Control										Existing	Serco Contract
Links with the Corporate programme optimisation and alignment to these functions		Control										New and Developing	Serco Contract
Programme Director in place to lead of Implementation		Control										Existing	Serco Contract

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<b>Safeguarding Children</b>	<b>Safeguarding Children</b>	<b>Risk</b>	<b>4 - Critical</b>	<b>2 - Possible</b>	<b>Medium</b>	<b>2 - Possible</b>	<b>4 - Critical</b>	<b>Medium</b>	<b>Substantial</b>	<b>Improving</b>	<b>Heather Sandy</b>		<b>Safeguarding Children</b>
Annual review of health assessments	Annual review of health assessments reach over 90%	Control										Existing	Safeguarding Children
Immunisations up to date	Immunisations up to date reaching 95%	Control										Existing	Safeguarding Children
No of children on child protection register	No of children on child protection register is below all England and stat neighbours	Control										Existing	Safeguarding Children
Ofsted Report (Children in need of health and safeguarding)		Control										New and Developing	Safeguarding Children
Registration with dentists	Registration with dentists reaching 95%	Control										New and Developing	Safeguarding Children
Registration with GPs	Registration with GPs reaching 95%	Control										Existing	Safeguarding Children
<b>Safeguarding Adults</b>	<b>Safeguarding Adults</b>	<b>Risk</b>	<b>3 - Major</b>	<b>3 - Probable</b>	<b>Medium</b>	<b>2 - Possible</b>	<b>3 - Major</b>	<b>Medium</b>	<b>Substantial</b>	<b>Improving</b>	<b>Glen Garrod</b>		<b>Safeguarding Adults</b>
Actions arising from the "Strategic Plan"		Control										New and Developing	Safeguarding Adults
Audit of Safeguarding practise		Control										Existing	Safeguarding Adults
LSAB action plan in place		Control										New and Developing	Safeguarding Adults
LSAB Prevention Strategy in place and embedded		Control										Existing	Safeguarding Adults
LSAB Risk Register in Place		Control										Existing	Safeguarding Adults
Multiagency Safeguarding Policy & Local procedures in place		Control										Existing	Safeguarding Adults
Number of safeguarding cases supported by an advocate		Control										New and Developing	Safeguarding Adults
Prevention Strategy agreed and being implemented		Control										Existing	Safeguarding Adults
Quality Practice Audits		Control										Existing	Safeguarding Adults
Recent Audit on safeguarding practise		Control										Existing	Safeguarding Adults
Rolling program of training for staff development in place		Control										Existing	Safeguarding Adults
Safeguarding personal action plan		Control										New and Developing	Safeguarding Adults

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<b>Projects</b>	<b>Ability to deliver our Transformation programme</b>	<b>Risk</b>	<b>3 - Major</b>	<b>3 - Probable</b>	<b>Medium</b>	<b>2 - Possible</b>	<b>3 - Major</b>	<b>Medium</b>	<b>Substantial</b>	<b>Improving</b>	<b>Andrew Crookham</b>		<b>Projects</b>
A number of key corporate projects are on the Transformation Programme.		Control										Existing	Projects
Aligning transformation programme to Corporate Plan and Political Manifesto		Control										Existing	Projects
Dedicated SharePoint site with updated standardised project templates		Control										Existing	Projects
Developing a new Transformation Team to lead key areas of activity		Control										New and Developing	Projects
Further governance arrangements being reviewed in line with corporate priorities to manage impact on corporate support services		Control										Existing	Projects
Gateway review process being tested.		Control										New and Developing	Projects
Governance in place for strategic, tactical and operational project levels.		Control										Existing	Projects
Implemented interim management structure to oversee the programme.		Control										Existing	Projects
Routine reporting to Overview & Scrutiny Management Board (OSMB)		Control										Existing	Projects

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<b>Cyber</b>	<b>The risk of a successful cyber-attack against the council with significant / critical impact</b>	<b>Risk</b>	<b>4 - Critical</b>	<b>3 - Probable</b>	<b>High</b>	<b>2 - Possible</b>	<b>4 - Critical</b>	<b>Medium</b>	<b>Limited</b>	<b>Improving</b>	<b>Andrew Crookham</b>		<b>Cyber</b>
Independently certified information security management system across ICT environment		Control										Existing	Cyber
Adoption of National Cyber Security Centre Active Cyber Defence tools		Control										Existing	Cyber
Back up regime confirmed as in place by service provider		Control										Existing	Cyber
Cyber security training and awareness in place.		Control										Existing	Cyber
Email filtering tool to protect from malicious email		Control										Existing	Cyber
Improved intruder detection and prevention software implemented		Control										Existing	Cyber
Increasing coverage of Microsoft 365 security controls deployed in line with project deployment		Control										New and Developing	Cyber
Internet security tool to identify and block internet born threats		Control										Existing	Cyber
Sercio Security Operations team FTE in place providing technical support		Control										Existing	Cyber
Unsupported Windows operating systems continue to be removed from our network		Control										New and Developing	Cyber
<b>Inflation</b>	<b>Continued high inflation undermines capital programme impacting aspirations and threatens the sustainability of revenue budgets.</b>	<b>Risk</b>	<b>4 - Critical</b>	<b>4 - Almost Certain</b>	<b>High</b>	<b>3 - Probable</b>	<b>3 - Major</b>	<b>Medium</b>	<b>Limited</b>	<b>Static</b>	<b>Andrew Crookham</b>		<b>Inflation</b>
Lobbying for Government Support		Control										New and Developing	Inflation
Regular financial monitoring/impact assessment on key projects/contracts		Control										New and Developing	Inflation
Reshape Spending options		Control										New and Developing	Inflation
<b>IT Infrastructure</b>	<b>IT Infrastructure - ability to implement transformational aspirations and deliver BAU</b>	<b>Risk</b>	<b>3 - Major</b>	<b>2 - Possible</b>	<b>Medium</b>	<b>1 - Hardly Ever</b>	<b>2 - Minor</b>	<b>Low</b>	<b>Limited</b>	<b>Improving</b>	<b>Andrew Crookham</b>		<b>IT Infrastructure</b>
Portfolio of remedial projects is progressing with all projects in the build stages		Control										Existing	IT Infrastructure
Life Cycle Management		Control										Existing	IT Infrastructure
New device management strategy is being put into effect which reduces reliance on LCC infrastructure		Control										Existing	IT Infrastructure

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<b>Market Supply</b>	<b>Adequacy of Social Care market supply to meet eligible needs as defined in the Care Act</b>	<b>Risk</b>	<b>3 - Major</b>	<b>2 - Possible</b>	<b>Medium</b>	<b>2 - Possible</b>	<b>2 - Minor</b>	<b>Medium</b>	<b>Limited</b>	<b>Static</b>	<b>Glen Garrod</b>		<b>Market Supply</b>
Loss of Provider Process (enacted where required)		Control										Existing	Market Supply
Carer attraction campaign – promoting Care as a career and development of branding		Control										New and Developing	Market Supply
Fair cost of care work	Led by Finance leads submission. National government pay different rates for different areas. Fair cost of care for locality. This is done in residential and doing it in homecare. Result in pressure for providers	Control										New and Developing	Market Supply
Home Based Reablement Service pilot to broaden eligibility		Control										Existing	Market Supply
Move to gross (residential specific)	Providers to Local authorities pay – admin burdens – cash flow. Step change in national government and hope to pay staff better who want to the job	Control										New and Developing	Market Supply
New specification and contracts for Residential Care (commencing 1st April 2022)		Control										New and Developing	Market Supply
Robust Contract Management of all Commissioned Services, including intervention work programme		Control										Existing	Market Supply
Service Quality Review – multi agency response to high-risk provision		Control										Existing	Market Supply
Workforce Development Strategy Group (led by Justin Hackney)		Control										Existing	Market Supply
<b>Recruitment &amp; Staffing</b>	<b>Ability to recruit &amp; retain staff in high risk areas</b>	<b>Risk</b>	<b>3 - Major</b>	<b>3 - Probable</b>	<b>Medium</b>	<b>2 - Possible</b>	<b>2 - Minor</b>	<b>Medium</b>	<b>Limited</b>	<b>Static</b>	<b>Andrew Crookham</b>		<b>Recruitment &amp; Staffing</b>
Developing an Attraction and Retention (A&R) framework, this and the wider A&R project is the top People Strategy priority. A&R initiatives within the framework have received CLT approval		Control										New and Developing	Recruitment & Staffing
Listening and responding to employee feedback through Smarter Working surveys and staff engagement events informing corporate action		Control										Existing	Recruitment & Staffing
Producing resourcing analytics for quarters 1-3 and year to date, and further development of Resourcing Management Information in addition to Human Resources Management Information (HRMI)		Control										New and Developing	Recruitment & Staffing
- Expansion of current enhanced health and well-being offer and launch of Mental Health First Aiders		Control										Existing	Recruitment & Staffing
- Expansion to employee benefits e.g. salary sacrifice, green cars		Control										Existing	Recruitment & Staffing
Apprenticeship campaigns embedded including hard to recruit and retain posts		Control										Existing	Recruitment & Staffing
Completion of Manager survey to review and validate hard to recruit/retain posts and launch the updated corporate toolkit for attraction, development and retention of talent along with new managers gu		Control										Existing	Recruitment & Staffing
Corporate Employee Health & Wellbeing strategy and enhanced corporate offer introduced during the Covid-19 pandemic		Control										Existing	Recruitment & Staffing
Corporate recruitment and retention measures established including new employer branding/social media campaigns		Control										Existing	Recruitment & Staffing

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Embedding all new employment policies to support cultural shift to more collaborative ways of working and early resolution of issues		Control										New and Developing	Recruitment & Staffing
Implementation of smarter working and associated changes to performance appraisal and working flexibly policies		Control										Existing	Recruitment & Staffing
Launch Employer of Choice - Our People Strategy 2021 – 24 to support the delivery of our Corporate Plan – focussed on recruiting and retaining skills to enable future delivery of services		Control										Existing	Recruitment & Staffing
Seeking funding for an additional resourcing post to support transformation of service delivery		Control										New and Developing	Recruitment & Staffing
Shorter and more user-friendly employment policies located on the new web platform enabling easier access and search by employees and prospective applicants		Control										Existing	Recruitment & Staffing
<b>Strategic Contracts</b>	<b>Ensuring contracts and markets (other than adult care) are fit for purpose &amp; are managed effectively</b>	<b>Risk</b>	<b>3 - Major</b>	<b>3 - Probable</b>	<b>Medium</b>	<b>2 - Possible</b>	<b>2 - Minor</b>	<b>Medium</b>	<b>Limited</b>	<b>Improving</b>	<b>Andrew Crookham</b>		<b>Strategic Contracts</b>
Access to legal advice and support		Control										Existing	Strategic Contracts
Business cases		Control										Existing	Strategic Contracts
Category Management		Control										New and Developing	Strategic Contracts
Commercial Board		Control										Existing	Strategic Contracts
Commissioning review (Sept 2020 - September 2021)		Control										Existing	Strategic Contracts
Contract and procurement procedure rules (CPPR)		Control										Existing	Strategic Contracts
Developing reporting back to CLT		Control										Existing	Strategic Contracts
Options Appraisals		Control										Existing	Strategic Contracts
Overview plan completed, further action plan to be developed.		Control										New and Developing	Strategic Contracts
Project decision making and governance including accountable decision maker		Control										Existing	Strategic Contracts
Putting together a Contract Management Toolkit which promotes good practice		Control										New and Developing	Strategic Contracts
Recruitment of Category Leads		Control										New and Developing	Strategic Contracts
Regular reporting to CLT		Control										New and Developing	Strategic Contracts
Use of industry standard contracts e.g. NEC		Control										Existing	Strategic Contracts