

Appendix 3

LCC Operational Risk Exposure Summary as at 31st January 2019

Risk Ref (as per ORR)	Risk	Risk Owner	Risk Score with existing controls			Target Risk Score with further controls			Target date
			I	L	Score	I	L	Score	
STRATEGIC AREA – ADULT SOCIAL CARE									
1.	Care Services & Commissioning (ASC) - Budget & Compliance Lack of budget / resources to comply with changes in DOLs legislation	TR	4	4	16	4	3	12	31/03/19 ongoing
2.	Care Services & Commissioning (ASC) - Mental Health - Statutory Duty LCC is legally obliged under the Mental Health Act (MHA) to provide 24/7 service	TR	4	4	16	4	3	12	31/03/19 ongoing
3	Care Services & Commissioning (ASC) - Removal of salary enhancements	TR	4	4	16				31/03/19 ongoing
4.	Care Services & Commissioning (ASC) - Data breach - Human error as demands on role increase likelihood for breach with access to sensitive data	TR	5	3	15	4	3	12	31/03/19 ongoing
STRATEGIC AREA – CITY DEVELOPMENTS AND NEIGHBOURHOODS									
8.	Neighbourhood and Environmental Services – Beaumont Park Depot – Condition of depot creating risks to service delivery, individuals working on site and visitors	JL	5	3	15	4	2	8	31/03/19
5.	Housing - Data Breaches – Increasing demand on staff capacity increases potential for errors which lead to data breaches	CB	4	4	16	4	4	16	31/03/19
7.	Neighbourhood and Environmental Services – Lack of adequate resource capacity	JL	4	4	16	3	3	9	31/03/19 ongoing
10.	Tourism, Culture & Investment – Markets – Risk relating to trader attrition and inability to attract new traders particularly during the market improvement works	MD	4	4	16	3	4	12	31/03/19 ongoing
11.	Tourism, Culture & Investment – Markets – the prevalence of incidents of anti-social behaviour in and around the Market area	MD	4	4	16	2	3	6	31/03/19 ongoing
6.	Housing – Legislation - Change in Government legislation on council housing known to be coming but full details remain unclear	CB	3	5	15	3	4	12	31/03/19
9.	Neighbourhood and Environmental Services – Reduction in income generation programmes	JL	3	5	15	2	4	8	31/03/19 ongoing
13.	Tourism, Culture & Investment – De Montfort Hall – Loss of operational ability due to failure of flying bars if not replaced	MD	5	3	15	5	1	5	31/03/19 ongoing
12.	Tourism, Culture & Investment – De Montfort Hall – Loss of operational ability due to failure	MD	5	3	15	5	2	10	31/03/19

Risk Ref (as per ORR)	Risk	Risk Owner	Risk Score with existing controls			Target Risk Score with further controls			Target date
			I	L	Score	I	L	Score	
	of stage lift if not replaced								ongoing
STRATEGIC AREA – CORPORATE RESOURCES AND SUPPORT									
17.	Finance – Corporate Fraud; Failure or inability to effectively detect, prevent, investigate and deal with corporate fraud	AG	5	4	20	5	4	20	31/03/19
18.	Finance - Information and Customer Access – Cyber Security. Increasing profile and expertise to circumvent established defences increase vulnerability of LCC data.	AG	4	5	20	4	5	20	31/03/19 ongoing
14.	Delivery, Communications and Political Governance - The service may struggle to manage a number of unplanned, additional elections	MC	5	4	20	4	3	12	31/03/19 ongoing
19.	Finance - Financial challenges - the Council fails to respond adequately to the cuts in funding over the coming year or years.	AG	5	4	20	5	2	10	31/03/19 and ongoing
15.	Delivery, Communications and Political Governance – Implementation of the new HR system goes over budget / timescales or fails to achieve desired outcomes and benefits	MC	4	4	16	4	4	16	28/02/19
20.	Finance - Tactical Decision Making - Business solutions considered by services, which impact upon Information Services service delivery, are taken without consultation or considering the impact	AG	4	4	16	4	4	16	31/03/19 ongoing
16.	Delivery, Communications and Political Governance - legal challenges particularly related to PSED/Consultation/Employment – Increased legal challenges heighten the need to ensure that processes are effective and efficient.	MC	4	4	16	4	3	12	31/03/19 ongoing
21.	Finance – Introduction of Universal Credit Full service	AG	4	4	16	3	4	12	31/03/19 ongoing
22.	Finance – BSC /Payroll Service – Loss or partial loss of Payroll Application SAFE	AG	3	5	15	3	4	12	31/03/19 ongoing
23.	Legal – Workloads and Pressure – Client Care. Services within the Council are stretched with increased demands and pressures.	KA	4	4	16	4	3	12	31/03/19
STRATEGIC AREA - EDUCATION AND CHILDREN'S SERVICES									
24.	Children's Social Care and Early Help - Budget Loss and / or reduction of services to achieve budget savings	CT	5	4	20				31/03/19
25.	Children's Social Care and Early Help - GDPR Change in Data Protection regulation (GDPR) which came into force May 2018.	CT	4	4	16	5	3	15	31/03/19
26.	Learning Services – A rising number of LA	PT	4	4	16	4	3	12	31/03/19

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	maintained schools are reporting financial deficits								
27.	Learning Services – External competition continues to threaten the future viability of the City Catering Service	PT	4	4	16	3	4	12	31/03/19
28.	Strategic Commissioning and Business Development – Safeguarding / teaching and learning workforce programmes are ineffective and Local Authority has insufficiently trained staff to deliver and manage the range.	TBC	4	4	16	4	3	12	31/03/19
STRATEGIC AREA – PUBLIC HEALTH									
29.	Budget - External Influences External national imperatives without associated budget introduced which will impact on local delivery	IB	4	4	16	4	4	16	31/03/19
30.	Budget Restrictions - Commissioning Reduced budget for services impacts on financial viability to potential 3rd party contractors who may deem package to be unsustainable.	IB	4	4	16	4	3	12	31/03/19
31.	Technology – Systems/ technology not fit for purpose to support services and commercial objectives, lack of IT knowledge	IB	4	4	16	3	4	12	31/03/19
32.	Budget Restrictions - Funding Ongoing austerity for Public Sector requires changes to service delivery to comply with available budget, continued reductions could force termination of services to ensure priority services remain available	IB	3	5	15	3	4	12	31/03/19
33.	Contract Management – Dilution of resources within Contract Management Services appear to impact the Public Health specific support for all elements of contract management	IB	3	5	15	1	1	1	31/03/19

Key:

IMPACT (I)	SCORE
CRITICAL/ CATASTROPHIC	5
MAJOR	4
MODERATE	3
MINOR	2
INSIGNIFICANT/ NEGLIGIBLE	1

LIKELIHOOD (L)	SCORE
ALMOST CERTAIN	5
PROBABLE / LIKELY	4
POSSIBLE	3
UNLIKELY	2
VERY UNLIKELY / RARE	1

Risk scores:

LEVEL OF RISK	OVERALL RATING	HOW THE RISK SHOULD BE TACKLED/ MANAGED
High Risk	15-25	IMMEDIATE MANAGEMENT ACTION
Medium Risk	9-12	Plan for CHANGE
Low Risk	1-8	Continue to MANAGE

Risk Owners:

AG - Alison Greenhill
CB - Chris Burgin
CT - Caroline Tote
IB - Ivan Browne
JL - John Leach

KA - Kamal Adatia
MC - Miranda Cannon
MD - Mike Dalzell
PT - Paul Tinsley
TR - Tracie Rees