

Appendix 3

LCC Operational Risk Exposure Summary as at 31st July 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 | |
| | <u>STRATEGIC AREA – ADULT SOCIAL CARE</u> | | | | | | | | |
| 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 | 31/10/19 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 | 31/10/19 ongoing |
| 3. | 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 | 31/10/19 ongoing |
| | <u>STRATEGIC AREA – CITY DEVELOPMENTS AND NEIGHBOURHOODS</u> | | | | | | | | |
| 7. | 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 | 31/09/19 ongoing |
| 8. | Tourism, Culture & Investment – Markets – the prevalence of incidents of anti-social behaviour in and around the Market area | MD | 4 | 4 | 16 | 3 | 4 | 12 | 31/10/19 ongoing |
| 4. | Neighbourhood and Environmental Services – Lack of adequate resource capacity | JL | 4 | 4 | 16 | 3 | 3 | 9 | 31/10/19 ongoing |
| 9. | Tourism, Culture & Investment – De Montfort Hall – Loss of operational ability due to failure of stage lift if not replaced | MD | 5 | 3 | 15 | 5 | 2 | 10 | 31/10/19 ongoing |
| 10. | Tourism, Culture & Investment – De Montfort Hall – Loss of operational ability due to failure of flying bars if not replaced | MD | 5 | 3 | 15 | 5 | 2 | 10 | 31/10/19 ongoing |
| 5. | 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 | 31/10/19 ongoing |
| 6. | Neighbourhood and Environmental Services – Reduction in income generation programmes | JL | 3 | 5 | 15 | 2 | 4 | 8 | 31/10/19 ongoing |
| | <u>STRATEGIC AREA – CORPORATE RESOURCES AND SUPPORT</u> | | | | | | | | |
| 12. | 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 | 31/10/19 ongoing |
| 13. | Finance - Tactical Decision Making - | AG | 4 | 4 | 16 | 4 | 4 | 16 | 31/10/19 ongoing |

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|--|---|------------|-----------------------------------|---|-------|---|---|-------|----------------------|
| | | | I | L | Score | I | L | Score | |
| | Business solutions considered by services, which impact upon Information Services service delivery, are taken without consultation or considering the impact | | | | | | | | |
| 16. | Legal – Workloads and Pressure – Client Care. Services within the Council are stretched with increased demands and pressures. | KA | 4 | 4 | 16 | 4 | 3 | 12 | 31/10/19 |
| 14. | Finance – Introduction of Universal Credit Full service | AG | 4 | 4 | 16 | 3 | 3 | 9 | 31/10/19 ongoing |
| 11. | Delivery, Communications and Political Governance - The service may struggle to manage a number of unplanned, additional elections | MC | 4 | 4 | 16 | 4 | 2 | 8 | 31/10/19 ongoing |
| 15. | Finance - Financial challenges - the Council fails to respond adequately to the cuts in funding over the coming year or years. | AG | 5 | 3 | 15 | 5 | 2 | 10 | 31/03/20 and ongoing |
| <u>STRATEGIC AREA - EDUCATION AND CHILDREN'S SERVICES</u> | | | | | | | | | |
| 17. | Children's Social Care and Early Help - Budget Loss and / or reduction of services to achieve budget savings | CT | 5 | 4 | 20 | 5 | 3 | 15 | 31/12/19 |
| 18. | Children's Social Care and Early Help - GDPR Change in Data Protection regulation (GDPR) which came into force May 2018. | CT | 4 | 4 | 16 | 4 | 3 | 12 | 31/12/19 |
| 19. | Learning Services – A rising number of LA maintained schools are reporting financial deficits | PT | 4 | 4 | 16 | 4 | 3 | 12 | 31/10/19 |
| 20. | Learning Services – External Market External competition continues to threaten the future viability of the City Catering Service | PT | 4 | 4 | 16 | 3 | 4 | 12 | 31/10/19 |
| <u>STRATEGIC AREA – PUBLIC HEALTH</u> | | | | | | | | | |
| 21. | Budget - External Influences External national imperatives without associated budget introduced which will impact on local delivery | IB | 4 | 4 | 16 | 3 | 4 | 12 | 15/01/20 |
| 22. | 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 | 15/01/20 |
| 23. | Technology – Systems/ technology not fit for purpose to support services and commercial objectives, lack of IT knowledge | IB | 4 | 4 | 16 | 3 | 3 | 9 | 01/01/20 |
| 24. | Budget Restrictions - Funding Ongoing austerity for Public Sector requires changes to service delivery to comply with available budget, continued reductions could | IB | 3 | 5 | 15 | 2 | 5 | 10 | 15/01/20 |

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| | | | I | L | Score | I | L | Score | |
| | force termination of services to ensure priority services remain available | | | | | | | | |
| 25. | 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 | 2 | 2 | 4 | 15/01/20 |

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