

## Appendix 3

### LCC Operational Risk Exposure Summary as at 31<sup>st</sup> January 2020

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	
<b>STRATEGIC AREA – ADULT SOCIAL CARE</b>									
1.	Adult Social Care – Budget – Compliance/DOLS Lack of budget / resources to comply with changes in DOLs legislation	RL	4	4	16	4	3	12	31/05/20 ongoing
2.	Adult Social Care - Mental Health - Statutory Duty LCC is legally obliged under the Mental Health Act (MHA) to provide 24/7 service	RL	4	4	16	4	3	12	31/05/20 ongoing
<b>STRATEGIC AREA – CITY DEVELOPMENTS AND NEIGHBOURHOODS</b>									
3.	Neighbourhood and Environmental Services – Ash Dieback – Epidemic of Ash Trees	JL	4	5	20	4	2	8	31/05/20
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	31/05/20 ongoing
4.	Neighbourhood and Environmental Services – Lack of adequate resource capacity	JL	4	4	16	3	3	9	31/05/20 ongoing
8.	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	31/05/20 ongoing
9.	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	31/05/20 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	31/05/20 ongoing
6.	Neighbourhood and Environmental Services – Reduction in income generation programmes	JL	3	5	15	2	4	8	31/05/20 ongoing
<b>STRATEGIC AREA – CORPORATE RESOURCES AND SUPPORT</b>									
11.	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	4	16	31/05/20 ongoing
12.	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	3	15	Weekly and ongoing
13.	Legal – Workloads and Pressure – Client Care. Services within the Council are stretched with increased demands and pressures.	KA	4	4	16	4	3	12	31/05/20
10.	Delivery, Communications and Political	MC	4	4	16	3	4	12	31/05/20

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	
	Governance – City Catering Service losing business. Further loss of schools / decline in school meal uptake make the service unviable.								ongoing
<b>STRATEGIC AREA - EDUCATION AND CHILDREN'S SERVICES</b>									
14.	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	31/05/20 ongoing
15.	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	31/05/20 ongoing
<b>STRATEGIC AREA – PUBLIC HEALTH</b>									
16.	Budget - External Influences External national imperatives without associated budget introduced which will impact on local delivery	IB	4	4	16	3	4	12	31/05/20
17.	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	31/05/20
18.	Technology – Systems/ technology not fit for purpose to support services and commercial objectives, lack of IT knowledge	IB	4	4	16	3	3	9	31/05/20
19	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	2	5	10	31/05/20
20.	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	31/05/20

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