

## Appendix 3

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

Risk Ref (as per ORR)	Risk	Risk Owner	Risk Score with existing controls			Target Risk Score with further controls			Target date
<b>STRATEGIC AREA – CITY DEVELOPMENTS AND NEIGHBOURHOODS</b>									
			I	L	Score	I	L	Score	
2.	Neighbourhood and Environmental Services – Ash Dieback – Epidemic of Ash Trees	JL	4	5	20	4	2	8	30/09/20
6.	Planning, Development and Transport – Highways and Transport Services – Covid-19 Impacts	ALS	4	5	20	3	5	15	30/09/20 ongoing
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	30/09/20 ongoing
9.	Tourism, Culture & Investment Budget -Very significant portion of divisional spend covered off by income streams that are threatened or entirely suspended due to Covid-19	MD	4	4	16	3	4	12	30/09/20 ongoing
1	Housing - Homelessness – Ongoing pressure and risks associated to statutory homeless cases requiring temporary accommodation exaggerated by budget, capacity and housing stock reductions as well as impact of UC roll out.	CB	4	4	16	3	3	9	30/09/20 ongoing
3.	Neighbourhood and Environmental Services – Lack of adequate resource capacity	JL	4	4	16	3	3	9	30/09/20 ongoing
8.	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	30/09/20 ongoing
4.	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	30/09/20 ongoing
5.	Neighbourhood and Environmental Services – Reduction in income generation programmes	JL	3	5	15	2	4	8	30/09/20 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	5	20	30/09/20 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
10.	Delivery, Communications and Political Governance – City Catering Service losing business. Further loss of schools / decline in	MC	4	4	16	3	4	12	30/09/20 ongoing

Risk Ref (as per ORR)	Risk	Risk Owner	Risk Score with existing controls			Target Risk Score with further controls			Target date
	school meal uptake make the service unviable.								
14.	Legal – Workloads and Pressure – Client Care. Services within the Council are stretched with increased demands and pressures.	KA	4	4	16	4	3	12	30/09/20 ongoing
13.	Finance – Introduction of Universal Credit (UC) Full Service	AG	4	4	16	3	3	9	30/09/20 ongoing
<b>STRATEGIC AREA – SOCIAL CARE AND EDUCATION</b>									
15.	Adult Social Care and Safeguarding – Budget – Compliance/DOLS Lack of budget / resources to comply with changes in DOLs legislation	RL	4	4	16	4	3	12	30/09/20 ongoing
16.	Adult Social Care and Safeguarding - 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	30/09/20 ongoing
17.	Adult Social Care and Commissioning – Implications of Covid-19	TR	4	4	16	4	3	12	30/09/20 ongoing
19.	Commissioning and Performance – A rising number of LA maintained schools are reporting financial deficits	SW	4	4	16	4	3	12	30/09/20 ongoing
18.	Children's Social Care and Early Help - Budget Loss and / or reduction of services to achieve budget savings	CT	5	3	15	5	3	15	30/09/20 ongoing
<b>STRATEGIC AREA – PUBLIC HEALTH</b>									
20.	Budget - External Influences External national imperatives without associated budget introduced which will impact on local delivery	IB	4	4	16	3	4	12	01/08/20
21.	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	01/08/20
22.	Technology – Systems/ technology not fit for purpose to support services and commercial objectives, lack of IT knowledge	IB	4	4	16	3	3	9	01/08/20
23.	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	01/08/20
24.	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	01/08/20

Key:

<b>IMPACT (I)</b>	<b>SCORE</b>	<b>LIKELIHOOD (L)</b>	<b>SCORE</b>
CRITICAL/ CATASTROPHIC	5	ALMOST CERTAIN	5
MAJOR	4	PROBABLE / LIKELY	4
MODERATE	3	POSSIBLE	3
MINOR	2	UNLIKELY	2
INSIGNIFICANT/ NEGLIGIBLE	1	VERY UNLIKELY / RARE	1

Risk scores:

<b>LEVEL OF RISK</b>	<b>OVERALL RATING</b>	<b>HOW THE RISK SHOULD BE TACKLED/ MANAGED</b>
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	KA	-	Kamal Adatia
ALS	-	Andrew L Smith	MC	-	Miranda Cannon
CB	-	Chris Burgin	MD	-	Mike Dalzell
CT	-	Caroline Tote	RL	-	Ruth Lake
IB	-	Ivan Browne	SW	-	Sue Welford
JL	-	John Leach	TR	-	Tracie Rees