Appendix 3

LCC Operational Risk Exposure Summary as at 31<sup>st</sup> January 2021

Risk Ref (as per ORR)	Risk	Risk Owner	Risk Score with existing controls		Target Risk Score with further controls			Target date	
			ı	L	Score	ı	L	Score	
	STRATEGIC AREA – CITY DEVELOPMENTS AND	NEIGHBOU	RHOOD	<u>s</u>					
2.	Neighbourhood and Environmental Services  – Ash Dieback – Epidemic of Ash Trees	JL	4	5	20	4	2	8	31/05/21
6.	Planning, Development and Transport – Highways and Transport Services – Covid-19 Impacts	ALS	4	4	16	3	4	12	31/05/21 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.	СВ	4	4	16	3	3	9	31/05/21 ongoing
3.	Neighbourhood and Environmental Services  - Lack of adequate resource capacity	JL	4	4	16	3	3	9	31/05/21 ongoing
7.	<b>Tourism, Culture &amp; Investment</b> – Covid-19 restrictions impact on viability of businesses in the short, medium and long term.	MD	4	4	16	3	3	9	31/05/21 ongoing
4.	Neighbourhood and Environmental Services  – Beaumont Park Depot – Condition of depot creating risks to service delivery, individuals working on site and visitors	JL / MW	5	3	15	3	3	15	31/05/21 ongoing
8.	Tourism, Culture & Investment – De  Montfort Hall – COVID19 UPDATE – Unable to trade due to government lockdown.	MD	3	5	15	3	5	15	31/05/21 ongoing
5.	Neighbourhood and Environmental Services  - Reduction in income generation programmes	JL	3	5	15	2	4	8	31/05/21 ongoing
	STRATEGIC AREA – CORPORATE RESOURCES AND SUPPORT								
10.	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	31/05/21 ongoing
11.	<b>Finance</b> - 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	31/05/20 21
9.	Delivery, Communications and Political Governance – City Catering Service losing business. Further loss of schools / decline in	МС	4	4	16	3	4	12	31/05/21 ongoing

Risk Ref (as per ORR)	Risk	Risk Owner	Risk Score with existing controls		Target Risk Score with further controls			Target date	
			1	L	Score	1	L	Score	
	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	31/05/21 ongoing
12.	Finance – IT 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	3	4	12	31/05/21 ongoing
13.	Finance – Introduction of Universal Credit (UC) Full Service	AG	4	4	16	3	3	9	31/05/21 ongoing
	STRATEGIC AREA – SOCIAL CARE AND EDUCATION								
15.	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	5	20	4	4	16	31/05/21 ongoing
16.	Adult Social Care and Commissioning – Contractual Agreements – Failure to complete contractual agreements to build new extra care developments at Tilling Road and Hamelin Road	TR	4	4	16	4	4	16	31/05/21 ongoing
17.	Adult Social Care and Commissioning - Passenger Transport for children and vulnerable adults via external contracted taxis not being available due to failed procurement and lack of drivers following communication of rates	TR	4	4	16	4	4	16	31/05/21 ongoing
18.	Adult Social Care and Commissioning – Implications of Covid-19	TR	4	4	16	4	3	12	31/05/21 ongoing
19.	Children's Social Care and Early Help - Budget Loss and / or reduction of services to achieve budget savings	СТ	5	3	15	5	3	15	31/05/21 ongoing
20.	Commissioning and Performance - Insufficient Places for infants There are insufficient places for 2, 3, and 4- year olds to meet demand as nurseries are no longer financially viable following Covid19 lockdown and reduced capacity.	SW	3	5	15	3	3	9	31/05/21 ongoing
	STRATEGIC AREA – PUBLIC HEALTH								

Risk Ref (as per ORR)	Risk	Risk Owner	Risk Score with existing controls		Target Risk Score with further controls			Target date	
			ı	L	Score	ı	L	Score	
21	Contract for IT system is incompliant, and the system needs to be replaced – Service is left with an incompliant and outdated system due to the lack of upgrades	IB	5	4	20	4	3	12	31/05/21
22.	Budget - External Influences External national imperatives without associated budget introduced which will impact on local delivery	IB	4	4	16	3	4	12	31/05/21
23.	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	31/05/21
24.	Technology – Systems/ technology not fit for purpose to support services and commercial objectives, lack of IT knowledge	IB	4	4	16	3	3	9	31/05/21
25	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	31/05/21

## <u>Key</u>:

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	KA	-	Kamal Adatia
ALS	-	Andrew L Smith	MC	-	Miranda Cannon
СВ	-	Chris Burgin	MD	-	Mike Dalzell
CT	-	Caroline Tote	RL	-	Ruth Lake
IB	-	Ivan Browne	SW	-	Sue Welford
JL	-	John Leach	TR	-	Tracie Rees