

Appendix 2

LCC Operational Risk Exposure Summary as of 31st January 2023

STRATEGIC AREA – CITY DEVELOPMENTS AND NEIGHBOURHOODS

| Risk Ref (as per ORR) | Risk Theme / Category | Link to Strategic Risk | Risk | Risk Owner | Impact | Likelihood | Current Risk Score | Impact | Likelihood | Target Risk Score | Target Date |
|-----------------------------|--------------------------------|---|---|---------------|--------|------------|-----------------------|--------|------------|-------------------------|---|
| 1. | POLITICAL ECONOMIC LEGAL | SRR 1.1 SRR 2.1 SRR 2.2 SRR 2.3 SRR 5.1 | Housing – Budget Pressures - Increase in inflationary pressures have led to increasing pressures on the HRA and the Housing GF | CB | 5 | 4 | 20 | 4 | 3 | 12 | 28/02/23 ongoing |
| 3. | ENVIRONMENTAL | | Neighbourhood and Environmental Services – Ash Dieback – Epidemic of Ash Trees | SA | 4 | 4 | 16 | 4 | 4 | 16 | 31/05/23 ongoing |
| 4. | SOCIO-CULTURAL | | Neighbourhood and Environmental Services - Decreasing availability of burial space. Burial space is limited in supply and may run out if further provision is not provided before existing capacity is reached. | SA | 4 | 4 | 16 | 4 | 3 | 12 | 31/05/23 Ongoing Planning Permissi on Dec 23 |
| 7. | | | Planning, Development and Transport - Failure or delayed delivery of development outcomes, including infrastructure - Ashton Green; new homes, employment land, community social infrastructure, open space, new jobs & skills training etc. | ALS | 4 | 4 | 16 | 3 | 4 | 12 | 31/05/23 ongoing |
| 8. | | | Planning, Development and Transport - Availability of supply chain - contractors, construction | ALS | 4 | 4 | 16 | 3 | 4 | 12 | 31/05/23 ongoing |

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| | | | difficult to get in place and issues on materials being available since Covid-19. | | | | | | | | |
| 2. | SOCIO-CULTURAL ECONOMIC LEGAL | SRR 3.2 SRR 3.3 SRR 5.1 | Housing – Refugees - Increase in community tensions as a result of the newly arrived Afghans in Leicester and the impact on homelessness services/ availability of social housing/ Safeguarding concerns in relation to the Homes for Ukraine project. | CB | 4 | 4 | 16 | 3 | 3 | 9 | 31/05/23 ongoing |
| 5. | ECONOMIC | | Neighbourhood and Environmental Services – Lack of adequate resource capacity. | SA | 4 | 4 | 16 | 3 | 3 | 9 | 31/05/23 ongoing |
| 6. | | | Neighbourhood and Environmental Services – Beaumont Park Depot – Condition of depot creating risks to service delivery, individuals working on site and visitors | SA / MW | 5 | 3 | 15 | 5 | 2 | 10 | 01/04/23 ongoing |
| 9. | LEGAL | | Planning, Development and Transport - Duty to Protect - ensuring counter-terrorism measures are incorporated into the built environment where required in order to meet our new statutory duties under the Duty to Protect legislation, e.g. new public realm schemes incorporating hostile vehicle mitigation measures. Need to ensure requirement for CT measures is considered and record all decisions. | ALS | 5 | 3 | 15 | 5 | 2 | 10 | 31/05/23 ongoing |

STRATEGIC AREA – CORPORATE RESOURCES AND SUPPORT

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| 10. | TECHNOLOGICAL | SRR 4.1 | Delivery, Communications and Political Governance – Cyber Security - Increasing profile and expertise to circumvent established defences increase vulnerability of LCC data. | MC | 4 | 5 | 20 | 4 | 4 | 16 | 31/05/23 ongoing |
| 11. | ECONOMIC | SRR 2.2 | Delivery, Communications and Political Governance – Shortages in terms of staff capacity/key skills | MC | 4 | 5 | 20 | 3 | 4 | 12 | 31/05/23 ongoing |
| 12. | TECHNOLOGICAL | SRR 4.1 | Delivery, Communications and Political Governance – On-Going Global supply Chain issues. Global shortage of semiconductor components impacting technology supply chain. | MC | 4 | 4 | 16 | 3 | 4 | 12 | 31/05/23 ongoing |
| 13. | ECONOMIC | SRR 2.3 | Delivery, Communications and Political Governance – Loss of income opportunities. Commercial arrangements such as trading with schools are lost due to heightened market competition and due to a lack of staff resources and expertise to undertake marketing and business development | MC | 4 | 4 | 16 | 3 | 4 | 12 | 28/02/23 ongoing |
| 14. | ECONOMIC | SRR 2.3 | Delivery, Communications and Political Governance - Ongoing budget pressures and savings impacting on service delivery | MC | 4 | 4 | 16 | 3 | 4 | 12 | 31/05/23 ongoing |
| 15. | LEGAL | SRR 5.1 | Delivery, Communications and Political Governance – Electoral Reforms arising from Elections | MC | 4 | 4 | 16 | 3 | 4 | 12 | 30/04/23 ongoing |

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| | | | Act 2022 - Late release of the detailed guidance and national system at the same time local resources are focused on planning for May 2023 elections risks the smooth introduction of Voter ID and could disenfranchise electors and their confidence in the electoral system. | | | | | | | | |
| 17. | POLITICAL | SRR 1.2 | Legal – Workloads and Pressure – Client Care. Services within the Council are stretched with increased demands and pressures. | KA | 4 | 4 | 16 | 4 | 3 | 12 | 31/05/23 ongoing |
| 16. | LEGAL | SRR 5.1 | Delivery, Communications and Political Governance – Impacts arising from Future Legislation ‘Martyn’s Law’ - Council is unprepared to respond to the potential requirements of forthcoming legislation related to counter-terrorism and therefore fails in the duty to protect people | MC | 5 | 3 | 15 | 5 | 2 | 10 | Directors and HofS session - 08/03/23. Report to CMB 09/03/23. Ongoing |

STRATEGIC AREA – SOCIAL CARE AND EDUCATION

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| 20. | ECONOMIC | SRR 2.1 | Children's Social Care and Community Safety – Workforce availability – Diminishing availability of experienced skilled social workers | CT | 5 | 4 | 20 | 5 | 4 | 20 | 31/05/23 ongoing |
| 18. | ECONOMIC | SRR 2.1 | Adult Social Care and Commissioning - Partnerships - sustainability | KG | 4 | 4 | 16 | 4 | 3 | 12 | 31/05/23 ongoing |

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| | | | Cost of living and cost of fuel prices, occupancy levels in Care Homes, workforce shortages, ending of Covid financial support all impacting on market sustainability Nursing Homes giving notice in already depleted market Provider failure due to poor quality - decrease in ratings by CQC | | | | | | | | |
| 19. | ECONOMIC | SRR 2.2 | Adult Social Care and Commissioning - Staffing - A number of service areas subject to change with consultations happening at service level and staff level | KG | 4 | 4 | 16 | 4 | 3 | 12 | 31/05/23 ongoing |
| 22. | SOCIO-CULTURAL | SRR 3.1 | Education - Failure to identify children missing from education in a timely manner. This could include children who have left school rolls who have not arrived at their destination school or where they have become electively home educated but where this is not suitable. | SW | 4 | 4 | 16 | 3 | 2 | 6 | Winter / Summer 23 |
| 21. | ECONOMIC | SRR 2.1 | Children's Social Care and Community Safety - Budget Loss and / or reduction of services to achieve budget savings | CT | 5 | 3 | 15 | 5 | 3 | 15 | 31/05/23 ongoing |
| 23. | SOCIO-CULTURAL | SRR 3.2 | Education – Pupil Attendance DfE are increasing the statutory responsibilities relating to pupil attendance. | SW | 3 | 5 | 15 | 2 | 2 | 4 | 31/07/23 ongoing |

STRATEGIC AREA – PUBLIC HEALTH

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| 24. | POLITICAL ECONOMIC SOCIO- CULTURAL | SRR 2.1 SRR 2.3 SRR 3.2 | Wider Economy and Supply Chain - Brexit / Covid related pressures increases prices or reduces availability of IT stock / services / logistics / medicines etc within the supply chain. | IB | 5 | 4 | 20 | 4 | 4 | 16 | 31/05/23 ongoing |
| 25. | ECONOMIC | SRR 2.1 SRR 2.2 | Budget - Changes to service delivery to comply with allocated budget and savings targets - continued reductions could force termination of services to ensure priority services remain available. | IB | 4 | 5 | 20 | 3 | 5 | 15 | 31/05/23 ongoing |
| 26. | ECONOMIC SOCIO- CULTURAL | SRR 2.2 SRR 3.2 SRR 3.3 | Staffing and recruitment - External. A national skill shortage and recruitment crisis in conjunction with Leicester being a challenging area in comparison to neighbouring areas creates difficulties in securing appropriately trained professionals within commissioned services and / or partner organisations - in particular Public Health Nurses and Health Visitors. | IB | 5 | 4 | 20 | 5 | 3 | 15 | 31/05/23 ongoing |
| 27. | ECONOMIC SOCIO- CULTURAL | SRR 2.2 SRR 3.1 SRR 3.2 SRR 3.3 | Health Protection /Covid 19 – If recovery efforts are slower paced than desired this could lead to delivery and safeguarding issues. | IB | 5 | 4 | 20 | 4 | 3 | 12 | 31/05/23 ongoing |
| 28. | POLITICAL ECONOMIC | SRR 1.1 SRR 2.1 SRR 2.2 SRR 2.3 | Commissioning - Reduced budget for services impacts on financial viability to suppliers who may deem package to be unviable leading to a lack of bids | IB | 4 | 4 | 16 | 3 | 5 | 15 | 31/05/23 ongoing |

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| | | | reducing competition or tender failing altogether | | | | | | | | |
| 29. | POLITICAL LEGAL | SRR 1.1 SRR 1.2 SRR 5.1 | Policy & Governance. Population health and the wider determinants of health impact, and are impacted by, a broad range of activities LCC undertakes. | IB | 4 | 4 | 16 | 3 | 4 | 12 | 31/05/23 ongoing |
| 30. | ECONOMIC SOCIO- CULTURAL | SRR 2.2 SRR 3.2 SRR 3.3 | Staffing and recruitment - Internal. An emerging recruitment crisis across a variety of sectors creates difficulty, both within Public Health and our commissioned services or system partners, in securing sufficient staff with the appropriate skills and experience to meet the immediate Public Health challenges posed by Covid 19 response and recovery and emerging issues. | IB | 4 | 4 | 16 | 4 | 3 | 12 | 31/05/23 ongoing |
| 31. | TECHNOLOGICAL LEGAL | SRR 4.2 SRR 4.3 SRR 5.1 | Data - Complex data sharing agreements with external organisations not in place or understood by officers which restricts information flow into Public Health required to deliver objectives. | IB | 4 | 4 | 16 | 3 | 3 | 9 | 31/05/23 ongoing |

Key:

| IMPACT (I) | SCORE | LIKELIHOOD (L) | SCORE |
|---------------------------|-------|----------------------|-------|
| 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:

| 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:

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|-----|---|----------------|----|---|----------------|
| ALS | - | Andrew L Smith | MC | - | Miranda Cannon |
| CB | - | Chris Burgin | MD | - | Mike Dalzell |
| CT | - | Caroline Tote | MW | - | Matt Wallace |
| IB | - | Ivan Browne | SA | - | Sean Atterbury |
| KA | - | Kamal Adatia | SW | - | Sue Welford |
| KG | - | Kate Galoppi | | | |