

## Appendix 3

### LCC Operational Risk Exposure Summary as at 31<sup>st</sup> October 2017

Risk Ref (as per ORR)	Risk	Risk Owner	Risk Score with existing measures			Target Risk Score with further controls			Target date
			I	L	Score	I	L	Score	
<b>STRATEGIC AREA – ADULT SOCIAL CARE</b>									
6.	Care Services & Commissioning (ASC) – Provision of statutory service Deprivation of Liberty Safeguards (DOLS)	TR	4	5	20	4	5	20	31/01/18 ongoing
4.	Care Services & Commissioning (ASC) - Quality of care in the Independent regulated services	TR	5	4	20	5	3	15	31/01/18 ongoing
3.	Care Services & Commissioning (ASC) - Failure to carry out effective statutory consultation will result in financial and reputational damage.	TR	5	4	20	4	3	12	31/01/18 ongoing
5.	Care Services & Commissioning (ASC) - Implementation of the Sustainability and Transformation Plan (STP)	TR	5	4	20	3	3	9	01/01/19
8.	Care Services & Commissioning (ASC) - Extra Care and Supported Living Developments; Impact of the loss of exemption from the Local Housing Allowance (LHA)	TR	4	4	16	4	3	12	31/01/18
9.	Financial viability of the provider market – market failure	TR	4	4	16	4	3	12	31/01/18
1.	Adult Social Care & Safeguarding - Integration agenda; Large programme of change in challenging financial context.	RL	4	4	16	3	3	9	31/01/18 ongoing
7.	Care Services & Commissioning (ASC) - Review of Residential Care; Financial risk - largest area of spend and danger of inappropriate models of care.	TR	4	4	16	3	3	9	31/01/18 ongoing
10.	Liquidlogic development and enhancements and health and social care IT integration – From April 2018 no resources to manage enhancements	TR	4	4	16	3	3	9	31/01/18
11.	Care Services & Commissioning (ASC) - Non-compliance with our duties under the Equalities Act	TR	5	3	15	5	2	10	31/01/18
2.	Adult Social Care & Safeguarding - Failure to meeting statutory need; Difficult financial climate; complexities with funding arrangement	RL	3	5	15	3	3	9	31/01/18 ongoing
<b>STRATEGIC AREA – CITY DEVELOPMENTS AND NEIGHBOURHOODS</b>									
12.	Estates & Building Services - Delay and compensation event claims are received leading to extensive costs.	MW	5	4	20	4	3	12	31/01/18 Ongoing

Risk Ref (as per ORR)	Risk	Risk Owner	Risk Score with existing measures			Target Risk Score with further controls			Target date
			I	L	Score	I	L	Score	
25.	Planning and Transportation Transport Strategy – Tackling Nitrogen Dioxide and other air pollutants	ALS	5	4	20	4	3	12	31/01/18 Ongoing
13.	Estates & Building Services - BSF Snag / Defect Programme - Outstanding construction matters prohibit the issuing of completion certificates	MW	5	4	20	4	2	8	31/01/18 ongoing
17.	Housing – Delivery of efficient and effective services to customers making best use of available resources.	CB	4	4	16	4	4	16	31/01/18
14.	Estates & Building Services - Schools Capital - Reduction in capital investment in schools with ageing school stock and deteriorating condition	MW	4	4	16	3	4	12	31/01/18 ongoing
18.	Housing - Impact of Welfare Reform on Housing Rents Account (HRA) rental income collection and supported housing.	CB	4	4	16	4	3	12	31/01/18 ongoing
19	Housing - Impact of welfare reform on supported housing will mean less income to the general fund.	CB	4	4	16	4	3	12	31/01/18
21.	Neighbourhood and Environmental Services – Lack of adequate resource capacity	JL	4	4	16	3	4	12	31/01/18 Ongoing
22.	Neighbourhood and Environmental Services – Reduction in income generation programmes	JL	3	5	15	3	4	12	31/01/18 ongoing
23.	Neighbourhood and Environmental Services – Resource & Capacity - Increased workforce age profile;	JL	3	5	15	3	4	12	31/01/18
15.	Estates & Building Services - Lift Condition Assessment - Asset Capture, Lack of forward planning in terms of planned maintenance	MW	3	5	15	2	5	10	31/01/18 ongoing
20.	Housing - Risk of Legal challenge, liability and reputational consequence if properties are not adequately maintained.	CB	5	3	15	5	2	10	31/01/18 Ongoing
24.	Neighbourhood and Environmental Services – Asset Condition; Condition of buildings creating risks to service delivery and individuals (in certain circumstances)	JL	5	3	15	3	3	9	31/01/18 ongoing
16.	Estates & Building Services - Loss of use of Asset; Unsafe asbestos particles found; Failure to maintain water hygiene	MW	5	3	15	3	2	6	31/01/18 Ongoing
<b>STRATEGIC AREA – CORPORATE RESOURCES AND SUPPORT</b>									
29.	Finance - Information and Customer Access; The Council is at constant threat from malicious hacking or human error.	AG	5	5	25	4	3	12	31/01/18 ongoing
31.	Finance – Corporate Fraud; Failure or inability to effectively detect, prevent, investigate and deal with corporate fraud	AG	5	4	20	5	4	20	31/07/18

Risk Ref (as per ORR)	Risk	Risk Owner	Risk Score with existing measures			Target Risk Score with further controls			Target date
			I	L	Score	I	L	Score	
33.	Legal - Flexible working practices which expose data to new risks, inappropriate disclosure of personal data, insecure and excessive information sharing, failure to comply with the Regulation of Investigatory Powers Act 2000.	KA	4	5	20	4	3	12	31/01/18
30.	Finance - Financial challenges - the Council fails to respond adequately to the cuts in funding over the coming 2 - 3 years.	AG	5	4	20	5	2	10	31/03/18 and every year end
26	Delivery, Communications and Political Governance - The service may struggle to manage a number of unplanned, additional elections	MC	4	4	16	4	4	16	31/01/18 ongoing
27.	Delivery, Communications and Political Governance - Increased legal challenges may heighten the need to ensure that processes are effective and efficient.	MC	4	4	16	4	3	12	31/01/18 ongoing
28.	Delivery, Communications and Political Governance – Implementation of the new HR system goes over budget / timescales or fails to achieve desired outcomes and benefits	MC	4	4	16	4	3	12	01/06/18
32.	Finance – Introduction of Universal Credit Full service	AG	4	4	16	3	4	12	30/04/18
<b>STRATEGIC AREA - EDUCATION AND CHILDREN'S SERVICES</b>									
39.	Learning Services - Funding reduction leading to inadequate school improvement capacity.	IB	5	4	20	5	4	20	31/01/18
35.	Children's Social Care and Early Help - Safeguarding - Publication of Serious Case Reviews for cases that occurred in 2013/14	CT	4	5	20	5	4	20	31/01/18
	Children's Social Care and Early Help – Safeguarding - Abuse or injury to children in a range of care placements	CT	5	4	20	5	4	20	31/01/18
	Children's Social Care and Early Help – Safeguarding - Abuse or injury to children and young people in the City	CT	3	5	15	3	4	12	31/01/18
36.	Children's Social Care and Early Help - Workforce - Staff fail to recognise and act to safeguard and mitigate the risks of significant harm to children.	CT	5	4	20	4	4	16	31/01/18
	Children's Social Care and Early Help - Workforce - Insufficient high quality workforce in support services resulting in key support functions not being carried out.	CT	5	4	20	4	4	16	31/01/18
37.	Children's Social Care and Early Help - Early Help - Failure of services and processes to identify and meet the needs of vulnerable young people.	CT	5	4	20	4	4	16	31/01/18

Risk Ref (as per ORR)	Risk	Risk Owner	Risk Score with existing measures			Target Risk Score with further controls			Target date
			I	L	Score	I	L	Score	
34.	Children's Social Care and Early Help – Improvement - Changing for the better LCCIB Improvement Plan - Budget Pressures on the divisional budget	CT	5	4	20	4	4	16	31/01/18
	Children's Social Care and Early Help - Improvement - Requirements to reduce public sector funding affect the Council's ability to fund key areas of improvement work	CT	5	4	20	4	4	16	31/01/18
	Children's Social Care and Early Help – Improvement - Increase in number of children looked after results in overspend,	CT	5	4	20	4	4	16	31/01/18
	Children's Social Care and Early Help – Improvement - Cost of agency social workers, including staffing over capacity, and interim staff working on improvements results in overspend	CT	5	4	20	4	4	16	31/01/18
	Children's Social Care and Early Help - Improvement - Permanent staff absence (sick leave, maternity leave, disciplinary action) results in higher costs	CT	4	4	16	4	4	16	31/01/18
	Children's Social Care and Early Help - Improvement - Staff leave, resulting in the need to fill posts with agency workers	CT	4	4	16	4	4	16	31/01/18
40.	Learning Services - Insufficient school places for 2017/18 and 2018/19. Increased demand due to demographic changes.	IB	5	4	20	4	3	12	31/01/18
41.	Learning Services - Insufficient SEND specialist places	IB	5	4	20	5	2	10	31/01/18
38.	Children's Social Care and Early Help - Placements for Looked After Children - Inability to recruit and retain foster carers; Inability to find sufficient suitable residential placements.	CT	4	4	16	3	4	12	31/01/18
42.	Strategic Commissioning and Business Development – Safeguarding / teaching and learning workforce programmes are ineffective and Local Authority has insufficiently trained staff to deliver and manage the range.	FC	4	4	16	4	3	12	31/01/18
<b>STRATEGIC AREA – PUBLIC HEALTH</b>									
43.	Clinical systems used by GP providers to claim payment for commissioned services are insufficiently robust to ensure payment accuracy	RT	4	5	20	4	4	16	31/12/17
44.	Grant Reductions; reduced capacity to meet statutory requirements	RT	5	4	20	4	4	16	31/12/17
45.	Data Access and Sharing - Insufficient and	RT	5	4	20	4	3	12	31/12/17

Risk Ref (as per ORR)	Risk	Risk Owner	Risk Score with existing measures			Target Risk Score with further controls			Target date
			I	L	Score	I	L	Score	
	inadequate data for PH function								
48.	Fitness and Health - Continued decline in health and fitness membership results in increased income budget pressures	RT	4	4	16	4	3	12	31/12/17 ongoing
50.	Accommodation project – Landlord may not approve proposals for the building; costs of refurbishment may exceed contingency and capital budget	RT	4	4	16	4	3	12	2019
47.	Substance Misuse Commissioning and contract management. As a consequence of the ASC review there is potential for reduction in capacity and capability in commissioning and contract management.	RT	4	4	16	3	3	9	31/12/17
49.	Pressure on Sports Services expenditure due to future service reductions	RT	4	4	16	3	3	9	31/12/17 ongoing
46.	Capability and Capacity - Maintaining sufficient specialist capacity to deliver on objectives whilst undergoing organisational review	RT	4	4	16	4	2	8	31/12/17
51.	Sexual Health Services review – failure to meet saving target set	RT	3	5	15	2	5	10	2019/20

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  
FC - Frances Craven  
IB - Ian Bailey  
JL - John Leach

KA - Kamal Adatia  
MC - Miranda Cannon  
MW - Matt Wallace  
RL - Ruth Lake  
RT - Ruth Tennant  
TR - Tracie Rees