

Audit, Risk and Governance Committee
Meeting to be held on Monday, 25 April 2022

Electoral Division affected:
(All Divisions);

Corporate Risk and Opportunity Register - Quarter 4 Update
(Appendices 'A' – 'B' refer)

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Executive Summary

This report provides an updated (Quarter 4) Corporate Risk and Opportunity Register and Summary Risk Profile for the Committee to consider and comment on.

Recommendation

The Committee is asked to:

- i) Note the updated Corporate Risk and Opportunity Register as set out at Appendix 'A'; and
- ii) Note the updated Summary Risk Profile, at Appendix 'B'.

Background and Advice

Risk Management Framework

Good governance enables an authority to pursue its vision effectively as well as underpinning that vision with sound arrangements for control and management of risk. An authority must ensure that it has a sound system of internal control which includes effective arrangements for the management of risk. Failure to develop and maintain a Corporate Risk and Opportunity Register means the council would be negligent in its responsibilities for ensuring accountability and the proper conduct of public business.

Quarter 4 Update

The risks and opportunities have been updated using information provided through directorate risk registers and by individual Directors. The main changes are as follows:

- The removal of the risk relating to Special Educational Needs and Disability (SEND) following the assessment of improvement in September 2021; and

- Family safeguarding – the risk confidence RAG rating for this risk has changed from green to amber. An audit identified that there was some inconsistency in the quality of workbooks completed by social workers. Steps have been put in place to improve practice and additional performance monitoring has also been implemented.

The updated register is provided at Appendix 'A' and the amended risk profile summary at Appendix 'B'. A summary of the risks and opportunities is set out below:

Corporate Risks

CORP1 – Reshaping the County Council

This risk remains on the register but has been updated to reflect the current position. Whilst this risk still focuses on ensuring the council has the capacity and skills to ensure it is sufficiently innovative/radical to transform services at the required pace to achieve the scale of change needed to deliver a balanced budget, the focus is now on:

- The change programme including capacity to deliver
- Our ways of working
- Improved partnership working
- A new County Council
- Financial Sustainability

There is progress across all the above workstreams.

CORP2 – Family Safeguarding Model

Work continues to implement the new Family Safeguarding model to ensure children and families receive timely and effective support. However, due to some inconsistencies in practice, steps have been taken to rectify this and additional monitoring has been put in place.

CORP4 – Integration & Innovation

This responds to the Government's legislative proposals for greater collaboration across the health and social care sector. Adult Social Care and Health Partnership Board has agreed a joint work programme. Engagement with members and senior officers is taking place.

CORP5 – ICT Provision

This risk focuses on the transition from Oracle R12 to Oracle Fusion, the use of data to plan and improve service provision and improving the council's core systems to promote innovation and implement best practice.

CORP6 – Covid 19 Impact on Services & Communities

This risk focuses on the council's response to the pandemic and the demand the response has put on both staff and service delivery. Parts of the organisation are still responding to the crisis whilst others have returned to business as usual as part of the recovery. A phased return/reopening to the office has taken place.

CORP7 – Impact on Community & Services

The demand for client-based services continues to increase so there is a risk that this may result in increased budget pressures and poor outcomes for those people in receipt of our services.

Opportunities

CO1 – Strengths Based Working

New ways of working in Adult Social Care because of covid being a catalyst for change. The 'lessons learned' have provided a platform for future ways of working. We have made a significant number of changes that we will endeavour to maintain.

CO2 – Environmental Improvements

Reduce the authority's Carbon Footprint and reduce impact on air quality from operations especially in urban areas to improve health outcomes.

Pension Fund Risks

All known current risks are being effectively managed by the Fund now. However, an unexpected new risk has emerged this quarter because of the conflict between Ukraine and Russia. Steps have been taken, as a matter of priority, to mitigate the small potential investment risks, the potential risk to cyber security, and to ensure that the Fund meets all requirements in relation to Government mandated sanctions. The risk has been thoroughly assessed and all mitigation actions have been carried out. The new risk will now be managed on an on-going basis according to the Fund's risk management process.

Consultations

N/A

Implications:

This item has the following implications, as indicated:

Risk management

Good governance enables an authority to pursue its vision effectively as well as underpinning that vision with sound arrangements for control and management of risk. An authority must ensure that it has a sound system of internal control which includes effective arrangements for the management of risk. Failure to develop and maintain a Corporate Risk and Opportunity Register means the council would be negligent in its responsibilities for ensuring accountability and the proper conduct of public business.

List of Background Papers

Paper	Date	Contact/Tel
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N/A

Reason for inclusion in Part II, if appropriate

N/A