

| Corporate Risk & Opportunity Register Q3 2015 |  |                            |  |  |            |  |                |   |   |
|---|--|----------------------------|--|--|------------|--|----------------|---|---|
| Risk Identification Number                    | Risk Description   | Risk Type                  | Possible Consequences  | Current Controls   | Risk Score | Mitigating Actions   | Residual Score | Risk Owner  | Direction of Travel   |
| CR1   | Failure to implement fully the councils medium term financial strategy including the delivery of planned budget reductions   | Economic                   | Financial Savings not achieved resulting in in-year overspends with pressure on following year budget and reserves depleted more quickly than planned. Reductions in service and/or drop in quality of delivery leading to JR and damage to Council's reputation. New legislative requirements not being met and uncertainty over being able to deliver and/or implement future large projects. Potential for infrastructure to deteriorate.   | Monthly budget monitoring processes for Heads of Service and Directors with particular focus on agreed savings delivery. Ensure key programmes of activity (particularly linked to savings / downsizing) are adequately resourced. Quarterly Money Matters budget monitoring reports, MTFS, reserves and Treasury Management reports presented to members (includes capital). Management Team actions to monitor key areas of expenditure and consider remedial courses of action to address budgetary pressures. Robust Medium Term Financial Strategy and Plan, updated to reflect variations to resource and demand assumptions. Reserves regularly monitored and reviewed. Resources allocated to Base Budget Review. Rebalance budget savings via an ongoing risk assessment. | 25         | <ul style="list-style-type: none"> <li>Development of recommendations (Base Budget Savings Options and from scheduled Zero Based Review activity) from the Base Budget Service Review to be considered by members.</li> <li>Appropriate consultation to take place.</li> <li>Improve commercial and financial acumen.</li> <li>Continuously revalidate budget assumptions.</li> </ul>  | 16             | Section 151 Officer                                 | As time progresses the risk to some extent reduces. However, the risk cannot be fully mitigated until all the necessary enabling decisions have been taken and the relevant budget options have been realised.          |
| CR2   | Risk to the ongoing longer-term Financial Viability of the County Council  | Economic/ Political/Social | Problems stored up for the future as a combination of delivery issues in CR1 and further national funding reductions causing minimum reserve position not to be maintained with the risk of not being able to set a balanced legal budget in future years.   | Base Budget Review has identified the risk of the County Council not being able to meet statutory obligations by 2018/19. The actual timing of when this situation may occur will be identified from the various monitoring and review process outlined in CR1 above   | 25         | <ul style="list-style-type: none"> <li>Zero Based Review activity will determine the scope for additional savings in all remaining services within the County Council (ongoing).</li> <li>Links to Combined Authority work including Healthier Lancashire programme with the NHS as to any opportunities / additional pressures (ongoing).</li> <li>Lobbying – Treasury and DCLG by utilising ongoing existing networks MP's / Members , LGA, CCN, SCT (ongoing)</li> <li>Funding Model – Review of borrowing Strategy &amp; Treasury Management Strategy (Q1 2016)</li> </ul> | 25             | MT  | Level   |
| CR3   | Failure to deliver joint service between Lancashire Pensions and LPFA, due to inability to agree terms resulting in some abortive costs, and the non delivery of a flagship project within the LGPS reform agenda. | Economic                   | Reputational damage as a result of the failure of a major pathfinder project. Need to find another like minded partner, or partners to work with as part of the requirement to submit pooling proposals for pension fund assets to the Government. This would be a very time pressured exercise, and limited or no choices may be available. Potential for reduced investment returns could occur, certainty of a reduction in the potential investment universe of illiquid assets, negatively impacting on the ability to deliver the investment strategy.   | Programme in place. Meetings taking place covering each project plan. Appropriate legal and technical advice for all parties has been secured. Regular programmes of information briefings are in place for elected members. Additional project management resource put in place within the Partnership. A proposed VPN connection between the offices with relevant firewalling has been ordered.   | 12         | <ul style="list-style-type: none"> <li>Additional legal resource allocated internally.</li> <li>Early establishment of 'client side' role to provide clear leadership for the council's input and provide additional technical expertise</li> </ul>  | 6              | Director of Governance, Finance and Public Services | ↓ Downwards. As time progresses the risk to some extent reduces. However, the risk cannot be fully mitigated until all the necessary enabling decisions have been taken and the relevant legal agreements put in place. |
| CR4   | Delivering organisational transformation including capacity and resilience   | Organisational             | The failure to clearly implement the new corporate strategy that sets out our vision, aims and priorities could result in a lack of purpose, direction and have an impact on service delivery and produce an adverse external audit report. The new structure that seeks to provide the ability to join up our services in a new way may not be fit for purpose. Ineffective employee engagement and buy in. A fall in staff morale could increase sickness absence and stress. Loss of knowledge and skills due to turnover puts demand on remaining staff which can expose the council to key person dependency and the risk of poor resilience. | A new corporate strategy has been developed based on need (New Service Planning Areas have been identified) and has been consulted upon. Phase 2 of the transformation process has been stopped. As part of the base budget review process options for service delivery and redesign have been developed including proposals to stop some services. Management Team approval of all new appointments and cessation of temporary staff contracts. Senior Management Development programme implemented. Positive employee communication and engagement. Wellbeing initiatives and support for managers and employees. Introduced a new scheme of delegation for heads of service.  | 12         | <ul style="list-style-type: none"> <li>The corporate strategy is being amended to reflect the consultation outcomes.</li> <li>Interim structures to reflect the base budget review options are being developed.</li> <li>Property strategy and accommodation review being progressed.</li> <li>Independent challenge.</li> </ul>   | 9              | MT  | ↓ Downwards   |

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| CR5                        | Failure to adequately protect and safeguard children  | Social          | Children are put at risk of harm.   | MASH hub. Serious incident reporting. Quarterly safeguarding report. SCR learning shared. Case file audits. Multi Agency inspections. Supervision with HOS.   | 25         | <ul style="list-style-type: none"> <li>• Post Improvement Inspection Board with Independent Chair appointed.</li> <li>• Post Inspection Improvement Plan.</li> <li>• Senior management input into each of the 3 Children Social Care Districts.</li> <li>• Review of all CiN cases using internal and external capacity.</li> <li>• Social Work Recruitment Strategy.</li> <li>• Peer Challenge. Stephen Hart audit exercise.</li> <li>• Newtons review of pathways.</li> </ul> | 16             | Director of Children's Services         | SW recruitment has improved. CiN case review has begun. Senior managers are now working in districts. Independent Board Chair appointed. |
| CR6                        | Failure to comply with statutory requirements and duties relating to children looked after, children in need and children leaving care. | Legal/Political | LA is legally and possibly financially liable, judicial review. Further OFSTED intervention.  | Corporate legal oversight. Quarterly safeguarding report. Serious incident reporting. SCR learning. Peer review and challenge. Stronger management oversight in Districts. Risk score. Again given OFSTED this is almost certainly the highest score.   | 25         | <ul style="list-style-type: none"> <li>• Weekly compliance recording of Strategy Meetings.</li> <li>• Enhanced quality assurance reporting.</li> <li>• Back to basics SW practice training.</li> <li>• Performance clinics.</li> </ul>  | 16             | Director of Children's Services         | Compliance reporting shows that multi agency meetings were at 100% in week ending 11 Dec.  |
| CR7                        | Failure to recruit and retain experienced Social Work staff   | Organisational  | Inability to deliver effective services. High caseloads. Lack of management oversight. Increased staff turnover. Increased agency spend.  | Vacancy monitoring. Recruitment strategy. Quarterly safeguarding report.  | 20         | <ul style="list-style-type: none"> <li>• Additional funding envelope.</li> <li>• Enhanced recruiting.</li> <li>• Weekly monitoring of SW workforce position.</li> <li>• External agency contract to look at CiN cases and work following MASH.</li> <li>• Newtons pathway review.</li> </ul>  | 16             | Director of Children's Services         | Improving SW recruitment is now at the levels with in the original funding envelope prior to the £5m and recruitment is continuing.      |
| CR8                        | Reputational damage and risk of Direct Intervention by DFE  | Reputational    | DFE manages services directly and removes them from the LA. Commission arrangements brought in.   | Safeguarding and Audit arrangements. Direct management oversight of services.   | 20         | <ul style="list-style-type: none"> <li>• Post Improvement Inspection Board with Independent Chair appointed.</li> <li>• Post Inspection Improvement Plan.</li> <li>• Senior management input into each of the 3 Children Social Care Districts.</li> <li>• Review of all CiN cases using internal and external capacity.</li> <li>• Social Work Recruitment Strategy. Peer Challenge. Stephen Hart audit exercise. Newtons review of pathways.</li> </ul>                       | 12             | Director of Children's Services         | Positive given feedback from OFSTED and appointment of Independent a Chair and usage of a Stephen Hart.                                  |
| CR9                        | Failure to Respond effectively to a major civil emergency and play our part in the strategic co-ordination                              | Organisational  | Effect on essential services and welfare of the public throughout the County. Through failure to comply with CCA and industrial based regulations leading to a loss of reputation, impacts on community and businesses and subsequent legal challenge. Internally, increased loss of capability for delivery of LCC services. | Emergency Plans. Business Continuity Plans. Rest centres policy and procedures. Regular training and exercises. The Emergency Planning & Resilience Service has conducted an authority wide risk assessment to identify risks and actions that need to be taken to ensure that resources are focussed on those risks which have a high likelihood and a high level of impact. An authority wide plan is in production to detail the co-ordination of the response but there will be occasions when local or small scale incidents affect only a few services/buildings. In these circumstances it will be expected that local management teams will respond accordingly and manage the impacts to local service delivery. To do this, local service level response & resilience plans have and are being developed by Heads of Service which link to the authority wide plan. | 4          | <ul style="list-style-type: none"> <li>• Redeveloping corporate and local plans to incorporate current (and future) changes to LCC business model.</li> <li>• Move from purely business continuity plans at local level to resilience plans (incorporating business continuity and emergency response as appropriate).</li> <li>• Production of specific LCC plans to mitigate identified high risks eg. Pandemic flu, loss of telecoms.</li> </ul>                             | 4              | Head of Emergency Planning & Resilience | ↓ Downwards. However, the risk can never be fully mitigated.   |

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| CR10                       | Manage debt recovery  | Economic       | Failure to recover debts will have a direct impact on the County Council revenue budget, as income will not have been achieved. This could result in higher levels of written off debts which again will impact on revenue budgets and will not be good for the reputation of the County Council.  | The income and debt project (including an improved IT system) aims to introduce a consistent and efficient way of dealing with invoices and debt management across the county council. A new Income and Debt Management Policy has been agreed and implemented from June 2015 onwards. The project is now in it's evaluation stage with further recommendations and controls to be suggested to further improve debt collection levels for the County Council.  | 6          | <ul style="list-style-type: none"> <li>Detailed review underway to review each individual long term and high value debtor. Case management report for each debtor. This will include a review of the bad debt provision which currently mitigates the revenue impact of writing off some debt. 31st January 2016.</li> <li>A new charging policy is being developed (social care) This has included some benchmarking to compare the charges LCC makes to it's service users</li> <li>The starting point for creating a debtor is the completion of the financial assessment. A full process review has been completed shortening the time between a care needs assessment and a financial assessment thus reducing complaints etc.</li> <li>Fortnightly Debt "progress" meetings to monitor the ongoing debt levels.</li> <li>Care Debt Board meets quarterly to review the overall care debt position. Our policy does not allow debt management team to engage legal services or our Debt Collection Agency to chase care debt, and we are therefore proposing a revised policy to be considered by Adults Services, Management Team and Members</li> </ul> | 4              | Section 151 Officer | ↓ Generally downwards as the new IT system is giving us new information which allows us to target our debt recovery. However, an element that is going in an upwards direction is the increased demand levels for Care Debt which will increase volumes of debts. |
| CR11                       | Non-compliance with EU procurement law and the council's procurement rules          | Economic       | Failure to obtain best value for money in the procurement of goods, works and services, leading to a poor Value for Money opinion from the council's external auditor. Increased risk of legal challenge to the outcome of procurement exercises, and the award of financial damages to claimants who successfully challenge procurement decisions.                      | The establishment of a Service Improvement Plan (SIP) on the transfer of the service back to the county council in 2014 aimed to develop and improve procurement related activity across the council. The SIP includes the approval of a Procurement Strategy, the establishment of a Procurement Board, and the development of a contracts register for the county council. Progress made against the plan has been monitored through quarterly reports to the Cabinet Committee for Performance Improvement (CCPI). | 12         | <ul style="list-style-type: none"> <li>Taking forward the actions included within the SIP, including: <ul style="list-style-type: none"> <li>New service management team in place;</li> <li>Re-establishment of the Procurement Board at director level to reflect the current council structure;</li> <li>Procurement training for Heads of Service/Directors;</li> <li>Review and update of the contracts register to highlight any potential gaps in the contract information;</li> <li>Refresh of individual service procurement plans;</li> </ul> </li> <li>Reintroduction of more timely management reviews of procurement activity and liaison meetings with operational Heads of service and managers;</li> <li>Closer working relationship with Legal Services, including the introduction of weekly Legal Services Clinics.</li> </ul>   | 8              | Head of Procurement | ↓ Downwards.  |
| CR12                       | Failure to implement/maintain systems that produce effective management information | Organisational | Ineffective collection, collation and input of data<br>Ineffective use of business intelligence, resulting in the inability to identify and respond to changing trends and inform strategic decisions.<br>Impact on strategic planning, understanding and management demand e.g. around demographics and ageing population profile<br>Ineffective reporting arrangements | Information management strategy. Data Quality processes. Oracle. Local Information Systems. Corporate performance information. JSNA and other needs assessments   | 15         | <ul style="list-style-type: none"> <li>External support to focus on Childrens Services data issues. Introduction of new governance arrangements for childrens services</li> <li>Introduce a new performance management framework that is aligned to new corporate strategy</li> <li>Agree performance, financial data and intelligence required for all levels within the County Council. Agree milestones and metrics.</li> </ul>   | 9              | MT                  | ↓ Downwards   |

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| CR13                       | Robust Information Governance Arrangements              | Organisational | Loss of control of personal data and non compliance with Data Protection Act and other legislation. Potential reputational risk and possible financial impact via financial penalties. Issues arising from data sharing between organisations and employees taking on new roles.   | IG and ICT security policies and procedures including assessment and coordination of serious information governance incidents. Robust governance, management and monitoring arrangements. Robust technical system controls and audit mechanisms. Staff training and awareness training. ICO external audit and response to recommendations  | 15         | <ul style="list-style-type: none"> <li>IG E-Learning package, realignment of responsibilities in response to ICO audit, training for IG team, CIGG, annual update of policies, SIRO, IG Team and Caldicott Guardian</li> </ul>  | 9              | SIRO  | ↓ Downwards.   |
| CR14                       | Maintaining effective Corporate Governance arrangements | Organisational | Inability to maintain effective governance arrangements including members standards and the constitution   | Reviewing elements of the constitution and governance arrangements and reporting proposals to the Political Governance Working Group, Audit & Governance Committee and full Council. Member training. Reviewing existing controls. New scheme of delegation. Revised Corporate Governance Framework adopted and reported to members   | 12         | <ul style="list-style-type: none"> <li>Further review of constitution. Improved controls especially around Risk Management.</li> <li>Consideration of Independent members on A&amp;G Committee.</li> <li>New Internal Audit Plan developed and implemented.</li> <li>Review new scheme of delegation</li> </ul>   | 8              | Director of Governance, Finance and Public Services | ↓ Downwards.   |
| CR15                       | Delivering new waste management arrangements            | Environmental  | Consequences arising from the Council's decision to terminate the waste PFI contract with Global Renewables Ltd in July 2014. As a result of this decision the Council took ownership of the waste recovery parks and operating company (GRLOL).   | Combined LCC/GRLOL management team responsible for governance and decision making of the operating company. Board of directors of GRLOL made up of elected members. Joint monthly Waste Service budget review.  | 12         | <ul style="list-style-type: none"> <li>Budget option proposal to reduce complexity and scale of operational processes and downsize company.</li> <li>Development of medium term company transformation strategy.</li> <li>Proposed market testing and procurement activity to determine potential market opportunities for reconfiguring the entirety of the council's waste services.</li> <li>Development of long term waste service strategy.</li> </ul> | 9              | Head of Waste Management                            | ↓ Generally downwards. Implementation of company transformation strategy will ultimately reduce risk profile significantly, however, it should be noted that the transformation process itself may increase risks in the first instance. Development and implementation of longer term strategy will carry its own inherent risks. |
| CR16                       | Management of the County Councils Assets                | Organisational | Failure to maintain council owned assets and buildings.  | Manage health and safety risks of customers and staff and ensure budgets are managed effectively to maintain assets to a satisfactory standard. Consider and manage risks associated with redundant properties. Planned maintenance approach. Risk assessments and regular H&S inspections. Presently undertaken by various operational service areas   | 9          | <ul style="list-style-type: none"> <li>Asset Management Strategy and accommodation review</li> </ul>  | 6              | Head of Asset Management                            | ↓ Downwards as long as the, shortly to be formed, Premises Compliance Team is effective in its efforts to improve strategic premises management activities   |
| CR17                       | Provide customer access to all Council services         | Social         | Failure to respond to customer contact in respect of 26 plus services (including two WLBC services) resulting in the following:- Increase wait times and abandoned calls, which will in turn result in complaints and the escalation of issues to Members, Police and/or other interested parties; Increase the risk of child protection and/ or adult safeguarding issues being delayed, including emergency calls during evening and at weekends; Affect the delivery of politically sensitive services, including Highways and Blue Badge, resulting in further escalations to Members; Increase the risk of legislative issues being delayed, including West Lancashire Revenues and Benefits and Registration services; Affect the delivery of income generating services, including Pensions and West Lancashire Revenues and Benefits services. This in turn could affect the current negotiation of new external business, which is due to bring in additional income; Increase the amount of repeat calls, placing further pressure on the service and increasing the risks above; Affect our delivery partners, including the Police and NHS, having a negative impact on these relationships. | The Customer Access Service is the first point of contact from citizens, partners and other professionals across Lancashire. Opening times are 8.00 am to 6.00 pm within Customer Contact Centre and 8am – 8pm Mon-Fri and 9am – 7pm Sat & Sun within CAS Social Care Service. We handle one million plus calls and 200 thousand plus emails annually EDT cover social care emergency calls outside CAS SC opening hrs. | 12         | <ul style="list-style-type: none"> <li>We have a robust business continuity plan in place which is regularly tested.</li> <li>We have a separate site with limited seating to accommodate approximately 18 staff, therefore, this is useful during short periods of time, e.g. heavy snowfall, but would be less useful if the main base in Accrington was completely inaccessible as we would be unable to cover full range of services.</li> </ul>        | 8              | Head of Customer Access Service                     | ↓ Downwards. We are in the final stages of procuring a new telephony platform which is web based, meaning our staff would be able to log in from various sites. It is hoped the replacement platform will be fully installed by June 2016.   |

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| CR18                       | Non-compliance with statutory responsibilities of safeguarding, resulting in adults with care and support needs being put at risk of abuse or neglect.                        | Legal                     | Adults with care and support needs may experience or be at risk of experiencing abuse or neglect and will not be safeguarded or protected, leaving them at risk of significant harm. The risk to the council is that we will not meet our obligations under the Care Act. The Safeguarding adult's board with core membership from the Police, NHS and other relevant bodies would not be able to fulfil their duties. Relevant multi agency partners may not share information or corporately work to protect adults at risk of experiencing abuse or neglect. Other statutory stakeholders may not work to prevent people experiencing abuse or neglect. Safeguarding adult's reviews may not be undertaken in order to share the learning about failures to safeguard people who experience abuse or neglect. Multi agencies may not work together. Independent mental capacity advocates to represent and support adults subject to safeguarding enquiries may not be arranged. Adults who have substantial difficulty in being involved and representing their views could be impacted. The local authority would be at risk of legal challenge, media attention, complaint and litigation. Prevention of risk of further harm of individuals and communities may not occur. Sharing information from key organisation to see the holistic picture will be impacted. | The safeguarding adults board meet up every 2 months and there are a number of safeguarding sub groups. The multi agency safeguarding hub intake service, receives all alerts and the Safeguarding Enquiries Service fulfil the statutory responsibilities to make enquires or request others to undertake this role to safeguard individuals in communities and organisations, including secure settings. An Advocacy Contract is in place to fulfil the responsibilities.   | 15         | <ul style="list-style-type: none"> <li>•Management overview of safeguarding enquiries, spot checks, and auditing around safeguarding decisions.</li> <li>•Chairing multi agency safeguarding meetings, and sub groups of the board, for example, area leadership groups, safeguarding training groups.</li> <li>•Work with Pan Lancashire Safeguarding which incorporates other local authorities.</li> <li>•Raising awareness of safeguarding by attendance at provider forums.</li> <li>•Liaising with NHS Trust and CCG Partners.</li> <li>Supporting LCFT in safeguarding.</li> <li>•Supporting the quality team around the quality of safeguarding alerts.</li> <li>•Attendance at Mappa, Asbrac and Marac steering groups.</li> <li>•Joint working with the Police around domestic violence, forced marriage, honour based violence, human trafficking and female genital mutilation. Supervision of staff, CPD and learning sessions. Learning from serious case reviews. Lado and DBS checks. Effective record keeping and the addressing of any issues with staff.</li> </ul> | 10             | Director of Adult services | ↓ Downwards.   |
| CR19                       | Residential and Nursing Care market in Lancashire   | Legal                     | Failure to comply with the care act regarding appropriate fees for residential and nursing care, ultimately leading to judicial review of our fee setting process.  | 2015/16 rates were issued to suppliers for consultation during 2014/15. Response was poor but no objections were raised.  | 12         | •A project to investigate the current cost of care in relation to future rate setting in the sector is underway.   | 9              | Director of Commissioning  | Neutral due to recent introduction of the Care Act and the market adjusting to new legislation. Continued pressure on fees within the industry could lead legal cases and increased risk of challenge within Lancashire.   |
| CR20                       | Transforming Care (Winterbourne)- the accelerated discharge of the population of adults with a Learning Disability from secure hospital in-patient beds into community houses | Economic/Political/Social | Increased pressure on the adult social care budget. Resettlement from hospital to community health and social care packages shifts the funding responsibility from solely NHS to a shared responsibility between CCG's and LA's to fund these high cost intensive health and social care packages. LCC may not be able to afford these new packages of care in the current financial climate. There is a National Plan to facilitate discharge therefore there is a reputational and political risk in not achieving as Lancashire is identified as a National Fast Track programme for this work due to the high number of Lancashire residents currently in in-patients LD hospitals. The closure of Calderstones hospital is part of this national plan. Failure to agree locally a reasonable figure for a dowry that is planned to follow a person from hospital (NHS) to LA's is a further financial risk.  | There is a governance structure for the Fast Track programme through the Fast Track Steering Group with representation from LCC Director Adult Social Care and HoS Commissioning working alongside SRO's from NHS and CCG's in order to achieve agreement on financial issues including the dowry and any future agreement for a pooled budget. There are identified workstreams each with a defined action plan with leads identified from commissioners across Lancs. Workstreams are monitored by the Steering group in addition to oversight by NHS England. The trajectory for possible discharge Sept 15- Mar 19 is to be carefully monitored so appropriate development and procurement of suitable housing and care can be planned for. | 16         | <ul style="list-style-type: none"> <li>•Improved engagement with procurement colleagues to ensure due process is followed operationally in meeting the needs of this population.</li> <li>•Lancashire's Fast track plan identifies the implementation of a revised model of care for people with LD improving crisis support through multi-disciplinary teams.</li> <li>•This approach is aimed at reducing admissions and supporting providers to maintain a person's tenure in their chosen house rather than re-enter hospital.</li> <li>•The plan commits to securing improved and alternate care and housing solutions for this population with the aim of creating shared tenancies with back ground support, rather than the current single tenancy model currently used, which will be more cost effective. There are plans to stimulate the provider market to inform innovative solutions to providing for these people</li> </ul>   | 12             | Director of Adult Services | ↑the direction of travel is increased as these are new service users entering the social care system from the NHS, the risk is constant from a financial perspective as the cost will be high and require providing for life. (although there are plans to mitigate costs through a dowry system and improved commissioning solutions) |

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| CR21                              | Service user/Customer risk associated with the inability to influence behaviour change in demand and expectations continue to rise   | Reputational     | Demand and expectations continue to rise against a backdrop of reduced resources, thus leading to service failure and an increase in complaints. Failure to integrate health and social care to reduce pressures on demand and expectations as a result of ageing population.  | Consultation and engagement with service users and customers. Co-ordination of communications. Changes and impacts communicated to stakeholders. Impact assessments. Alternative delivery options being explored as part of base budget review option development. Learning for complaints and oversight at CCPI.   | 16                | •Alternative delivery options being explored as part of base budget review option development   | 12                         | MT  | ↓ Downwards.   |
| CR22                              | Coroner's Service: Lack of adequate mortuary provision to deal with a mass fatality situation. Increased workload with regards to deaths associated with a DoLS order. Renegotiation of Coroner's terms and conditions of Service. Reduction in the number of Pathologists willing and able to carry out post mortems. Lack of control over expenditure in coronial areas where we are not the relevant Authority but make a significant contribution towards the costs of running the service | Legal            | Mortuary full, nowhere to hold bodies of the deceased prior to Post Mortem resulting in delays to funerals and additional distress to bereaved families. Increased workload due to DoLS may impact on ability to list inquests within the required timescales which would then be included in the annual statistics and be brought to the attention of the Chief Coroner. Impact on budget with regards to renegotiation of Coroner's terms and conditions of service. Increased budget pressure where expenditure is higher than forecast   | Use of Assistant Coroners to sign off routine paperwork and short inquests helping to reduce back log re listings. Mechanism in place to encourage Funeral Directors to collect bodies of the deceased in a timely manner reducing the strain on the mortuary. Regular reviews in place with other relevant Authorities   | 16                | •Looking at the possibility of introducing CT post mortems to reduce the reliance on pathologists and to help speed up the process.<br>•Consideration of a new cold pathology site with the provision of a 200 bay mortuary that could also be used in the event of mass fatalities.<br>•Seeking guidance from JNC for Coroners and Chief Coroner in relation to any re negotiation of Coroner's terms and conditions of service.<br>•Additional funding secured to help with DoLS process. | 9                          | Director of Governance, Finance and Public Services | ↓ Downwards.   |
| CR23                              | Failure to maintain adequate financial resources to be able to fund self-insured losses as and when they arise   | Economic         | Adequate financial resources are not held in Provisions and Reserves to be able to pay claims and fund losses when they fall due to be met.  | The level of the financial resources is monitored annually, with consideration being given to both payments out during the year and outstanding liabilities for claims received during the year. Additional funding to be made available as necessary.  | 12                | •A professional actuarial evaluation of the current position has been completed in Summer 2015, and it is recommended that the position should be reviewed periodically by the same actuary to ensure that the funding continues to be adequate.  | 6                          | Section 151 Officer                                 | ↓Downwards, primarily because the work done by the professional actuary has helped to establish the level of funding required. |
| Opportunity Identification Number | Opportunity Description  | Opportunity Type | Possible Benefits  | Progress to date  | Opportunity Score | Maximising Actions  | Residual Opportunity Score | Opportunity Owner                                   | Direction of Travel  |
| C01                               | Establishing a new model for public service delivery in Lancashire   | Political        | The establishment of a Lancashire Combined Authority and securing a devolution deal with central government. A Combined Authority is an accountable body in its own right – this means it is a single point of decision making on agreed functions (quicker and simpler decisions); has powers delegated to it from Government and the individual local authorities (subject to local discussion and determination); can hold substantial amounts of Government and European funding. In relation to transport, greater co-operation will allow improvements to the region's public transport network. | Lancashire Leaders to formally take proposals for a new model (in principle) to their authorities. Briefings for County Council members. Progression of work streams.   | 16                | •Work with local authority partners on the establishment of a Combined Authority for Lancashire and in securing a Devolution Deal with Government.  | 12                         | Chief Executive                                     | ↑ Upwards  |
| CO2                               | Delivering economic growth   | Economic         | Continued successful delivery of the LEP's current strategic economic growth programmes. Successfully secured new resources for Lancashire to support job and business creation, housing growth and the delivery of strategic transport infrastructure linking to drive economic growth and regeneration, linking residents and businesses with economic opportunities.  | Lancashire Enterprise Partnership has secured almost £1 billion of national resources to deliver a transformational programme of economic growth which see the delivery of new jobs, business and housing growth and strategic transport infrastructure. Key programmes/projects secured include the Preston, South Ribble and Lancashire City Deal, Growth Deal, three Enterprise Zones, Growing Places Funding, Boost Business Lancashire and Superfast Broadband | 16                | •Work with local authority partners on the establishment of a Combined Authority for Lancashire and in securing a Devolution Deal with Government to ensure national resources to support economic growth and regeneration are secured.<br>•Maximise the support from key local and national public and private sector stakeholders outside of the County Council   | 12                         | Director of Economic Development                    | ↑ Upwards  |

| Risk Identification Number | Risk Description  | Risk Type       | Possible Consequences   | Current Controls   | Risk Score | Mitigating Actions   | Residual Score | Risk Owner | Direction of Travel |
|----------------------------|---|-----------------|---|--|------------|--|----------------|------------|---------------------|
| CO3                        | Opportunities through delivering the corporate strategy and property strategy | Economic/Social | This strategy seeks to ensure we continue to meet the immediate needs of our communities while shaping the council into an organisation that is sustainable and able to deliver successfully against its goals for years to come. It sets out what we will be doing to achieve that balance, along with our commitment to securing the best outcome for our citizens, communities and for Lancashire. The strategy will help to ensure that we deliver on the following strategic outcomes:<br>- To live a healthy life<br>- To live in a decent home in a good environment<br>- To have employment that provides an income that allows full participation in society | Draft strategy considered by Cabinet on 26 November and ratified by Full Council on 17th December              | 16         | •Use the strategy and associated evidence base to guide our decision making and as the overarching framework for planning interventions which will meet the needs of communities | 12             | MT         | ↑ Upwards           |
| CO4                        | Health and Social Care Integration  | Organisational  | The principle of the separate organisations working together to align plans, strategies and budgets will involve the development of new delivery models and ways of working, to avoid duplication and focus activity where it is needed, recognising that current models of service delivery are unsustainable. Integration would provide the best opportunity to minimise the impact of funding reductions as well as providing a better offer for service users   | Participation in the Healthier Lancashire programme building upon the "Alignment of the Plans" work undertaken | 12         | •Recognise the need for: an ambitious vision, robust partnerships, clear and credible delivery plans, strong leadership and governance arrangements at a pan-Lancashire level    | 12             | MT         | Level               |