

## **Audit and Governance Committee**

Meeting to be held on Monday, 3 April 2017

Electoral Division affected:  
(All Divisions);

## **Risk & Opportunity Register Quarter 4**

(Appendix "A")

Contact for further information:

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### **Executive Summary**

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

### **Recommendation**

The Committee are asked to note the Quarter 4 Risk and Opportunity Register at Appendix A.

### **Background and Advice**

Following the corporate approach to reporting on risk and opportunity the Quarter 4 Risk and Opportunity register was recently reported to Management Team. Following this the Register was presented to Cabinet Committee for Performance Improvement (CPPI) on 7 March 2017. An updated Risk and Opportunity Register is attached at Appendix A and the Committee is asked to comment upon it.

The key highlights in the register include:

- for this quarter there is one addition (CR27) and one deletion (CR15) to the register;
- allowing for mitigating actions, the residual risk score for the following entries remain 12 or above so the issue remains on the register:

<b>Risk Identification Number (RIN)</b>	<b>Risk Description</b>
CR1	Failure to implement the county council's MTFS. Further mitigating actions added but residual risk score remains unchanged.
CR2	Risk to the on-going financial viability of the county council. Further mitigating actions added but residual risk score remains unchanged.
CR4	Delivering Organisational Transformation. Residual risk score remains unchanged.
CR5	Inability to adequately protect and safeguard children. Further mitigating actions added. Direction of travel updated.
CR6	Failure to comply with statutory requirements and duties relating to CLA, children in need and children leaving care. Further mitigating actions added. Direction of travel updated.
CR7	Failure to recruit and retain experienced staff within Children's services. Direction of travel updated
CR8	Reputational damage and risk of direct intervention by DFE. Direction of travel updated.
CR12	Inability to implement/maintain systems that produce effective management information. Further mitigating actions added but residual score remains the same.
CR16	Management of the County Council's assets. Further mitigating actions added but residual score remains the same.
CR20	Transforming care (Winterbourne). Residual score remains at 12.
CR21	Service user/customer risk associated with the inability to influence behaviour change in demand and expectations continue to rise. Residual score remains at 12.
CR24	Failure to achieve targets with National Troubled Families Unit. Updated and residual risk score has increased.
CR25	Failure to implement and meet the statutory requirement to children and young people with special educational needs and/or disabilities remains unchanged.
CR26	Proposed museums closures. Further mitigating actions added but residual score remains the same.
CR27	The mobilisation of the home care framework and subsequent service transfer process. Mitigating actions are being put in place but the residual score means the issue is added to the register.
CO1	Developing a new model for public service delivery in Lancashire. Further updates added.
CO2	Delivering economic growth. Further maximising actions added.
CO3	Opportunities through delivering the corporate strategy and property strategy. No change.
CO4	Health & Social Care Integration. Narrative updated.

## **Consultations**

N/A

## **Implications:**

This item has the following implications, as indicated:

### **Risk management**

Good governance enables a local authority to pursue its vision effectively as well as underpinning that vision with sound arrangements for control and management of risk. A local 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 & Opportunity Register means the County Council would be negligent in its responsibilities for ensuring accountability and the proper conduct of public business

## **Local Government (Access to Information) Act 1985**

### **List of Background Papers**

Paper	Date	Contact/Tel
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NA

Reason for inclusion in Part II, if appropriate

NA