

APPENDIX 1**Summary of Risks Removed**

- Risks from the previous Corporate Risk Register (CRR) have been reassessed using the new risk assessment criteria - this has resulted in one of the following:
 1. Management at departmental level;
 2. Removal of risk;
 3. Consolidation of the risk within revised CRR
- The revised risk scores reflect the significant work that has evolved around some of the risk areas, as well as taking into account established and robust processes (Legal, HR etc)
- Although some risks no longer appear on the revised Corporate Risk Register, they are recognised as 'high amber' on the relevant departmental risk register and will be monitored accordingly

Existing Corporate Risk Register as approved by Corporate Governance Committee on 13th February 2013

<u>Risk Area</u>	<u>Brief risk description</u>	<u>Result - including justification of downgrading or removal</u>
Business Continuity (BC)	<ul style="list-style-type: none"> • Failure to meet requirements of Civil Contingencies Act • Failure to recover critical services 	<p><i>Result = Consolidation</i></p> <ul style="list-style-type: none"> • In the event of key failure, BC provides mitigating action(s). Departments have considered the adequacy of their BC plans and have actions to improve. Where there is a potential service failure that will not be mitigated by BC these are included directly on the register as risks.
Emergency Management	<ul style="list-style-type: none"> • Failure to meet requirements of Civil Contingencies Act • Failure to maintain Resilience Partnership 	<p><i>Result = Removal</i></p> <ul style="list-style-type: none"> • The Council is active on the Local Resilience Forum (LRF), the LRF Programme Board and the LRF General Working Group. • There have been no examples of failure.
Changes in Legislation	<ul style="list-style-type: none"> • Failure to respond adequately to new legislation and regulation with regards to employment/pay 	<p><i>Result = Departmentally managed</i></p> <ul style="list-style-type: none"> • The County Council has an established, strong and robust HR service and legal team that is up to date with appropriate legislation. The risk has been reassessed and included within the Corporate Resources departmental risk register but has not been assessed as high/red risk.
Changes in Legislation – Sub Risk	<ul style="list-style-type: none"> • Failure to maintain and embed the duties of Equality Act 2010 	<p><i>Result = Removal</i></p> <ul style="list-style-type: none"> • The County Council has achieved the 'Excellence' level of Equality Framework and there is ongoing work with to further

		strengthen equalities structures and meet legislative requirements.
Changes in Legislation – Sub Risk Legal implications of major service provision change	<ul style="list-style-type: none"> Failure within the consultation process can lead to external bodies challenging LA decisions through a judicial review leading to: decisions already made overturned; financial impact 	<p><i>Result = Departmentally managed</i></p> <ul style="list-style-type: none"> It is the Monitoring Officer's view that the approach in all departments is much sounder and the Authority is doing a good deal to counter it. The risk has been considered and included within relevant departmental risk registers' but has not been assessed as high/red.
Changes in Legislation	<ul style="list-style-type: none"> Failure to respond adequately to new legislation and regulation: health and safety 	<p><i>Result = Departmentally managed</i></p> <ul style="list-style-type: none"> Review of Health, Safety and Wellbeing service completed with new service and team that is up to date with appropriate legislation. This risk has been considered and included within the Corporate Resources departmental risk register but has not been assessed as high/red
Organisation Change	<ul style="list-style-type: none"> Failure to adequately manage change in light of revised structures Impact of EMSS 	<p><i>Result = Departmentally managed & Specific Risk</i></p> <ul style="list-style-type: none"> Risk around managing the impact on staff of restructures has been considered and included within the Corporate Resources departmental risk register. Although it has not been assessed as high/red, the Assistant Director will review the risk over coming months as the impact of future transformation becomes clearer. EMSS risk included in revised CRR (risk # 5)
Value for Money	<ul style="list-style-type: none"> Efficiency gains are insufficient to meet budget/MTFS requirements 	<p><i>Result = Consolidated</i></p> <ul style="list-style-type: none"> This risk was incorporated within the risk area 'economic downturn/financial management' Departments have highlighted risks in relation to achievement of savings/efficiencies within the MTFS. Saving/Efficiency risk included in revised CRR as a consolidated risk (risk # 10)
Staff and members	<ul style="list-style-type: none"> Failure to maintain a workforce that can provide good service delivery in a period of economic downturn. 	<p><i>Result = Departmentally managed</i></p> <ul style="list-style-type: none"> Staff risks have been considered and included within the Corporate Resources departmental risk register. Although has not assessed as high/red, the Assistant Director will review the risks over coming months as the impact of future transformation becomes clearer.

ICT	<ul style="list-style-type: none"> Risk of heavy dependence on ICT systems to support current service delivery and future improvements 	<p><i>Result = Consolidated</i></p> <ul style="list-style-type: none"> ICT dependency risk included in revised CRR (risk # 6) ICT resource risk included in revised CRR (risk # 15)
Public Service Structures	<ul style="list-style-type: none"> Risk of service delivery being adversely affected by implementing Government proposals to change public service structures 	<p><i>Result = Consolidated</i></p> <ul style="list-style-type: none"> Relevant Public Health risk included in revised CRR (risk # 9) Police & Crime Commissioner - risks considered and included within Chief Executives' departmental risk register but have not been assessed as high/red Commissioning risk included in revised CRR (risk # 14)
Partnership Working	<ul style="list-style-type: none"> Risk of failure of key partnerships to deliver expected benefits and improvements 	<p><i>Result = Consolidated</i></p> <ul style="list-style-type: none"> Partnership working risk included on revised CRR (risk # 3)
Environment and Environment Sub - Risks	<ul style="list-style-type: none"> Failure to comply with the Council's duties to protect and enhance the natural environment Failure to record and reduce Carbon Emissions Failure to identify and manage risks around Climate Change 	<p><i>Result = Departmentally managed</i></p> <p>Various environmental risks have been considered / reassessed through the Environment & Transportation departmental risk register and have currently been assessed as high amber risks and will be monitored accordingly.</p>
Community Client Needs	<ul style="list-style-type: none"> Risk of failure to adequately respond to community/client needs 	<p><i>Result = Departmentally managed</i></p> <ul style="list-style-type: none"> Risk around Localism Bill have been considered and included within the Chief Executives' departmental risk register but have not been assessed high/red. Forecasting for increased demand risk included in revised CRR (risk # 13)
Waste Management	<ul style="list-style-type: none"> Risk of failure to meet statutory obligations for landfill diversion 	<p><i>Result = Consolidated</i></p> <ul style="list-style-type: none"> From 2013/14 there are no statutory LATS targets but an EU statutory obligation target for 2019/20 which LCC will have to contribute to. Risks around this have been reassessed within the E&T departmental risk register but have not been assessed as high/red. Forecasting for increased demand risk

		included in revised CRR (risk # 13)
Growth Agenda	<ul style="list-style-type: none"> Failure to plan effectively for the growth (and decline) agenda with particular reference to population, housing and transport 	<p><i>Result = Consolidated</i></p> <ul style="list-style-type: none"> Population - risks around this have been considered and included within Chief Executives' and Adults & Communities departmental risk registers but have not been assessed as high/red. Transport and Waste risks have been considered within the Environment & Transportation departmental risk register but have not been assessed as high/red. Forecasting for increased demand risk included in revised CRR (risk # 13)
Economic Downturn & Financial Management	<ul style="list-style-type: none"> Impact on LCC of Local Government Finance Settlement and key risks around the MTFS 	<p><i>Result = Consolidated</i></p> <ul style="list-style-type: none"> Saving/Efficiency risk included in revised CRR as a consolidated risk (risk # 10) Additional financial risk on the last two years of the current MTFS included in revised CRR (risk # 11)
Sub Risk – Financial implications of schools converting to academies	<ul style="list-style-type: none"> Significant financial risk through loss of DSG; loss of income; reduction of formula grant 	<p><i>Result = Departmentally managed</i></p> <ul style="list-style-type: none"> Risk has been considered and included within the Corporate Resources departmental risk register but has not been rated as high/red
Sub Risk – MMI	<ul style="list-style-type: none"> Adverse financial impact on LCC Liability Find as a result of deteriorating position of MMI 	<p><i>Result = Consolidated</i></p> <ul style="list-style-type: none"> Included in revised CRR (risk #14)
Information Security	<ul style="list-style-type: none"> Continuing risk of failure of information security 	<p><i>Result = Consolidated</i></p> <ul style="list-style-type: none"> Information Security risk included in revised CRR (risk # 7)
Safeguarding – Child Protection Service and Adults Service	<ul style="list-style-type: none"> Risk of failure in children's and adult's procedures not having robust systems in place resulting to harm to a child or adult known to the Council 	<p><i>Result = Departmentally managed</i></p> <p><u>Adults & Communities –</u></p> <ul style="list-style-type: none"> The risks around safeguarding vulnerable adults have been reassessed within the departmental risk register and have resulted in an amber rating. <p><u>CYPS –</u></p> <ul style="list-style-type: none"> The risk of loss of confidence in the ability of management to safeguard children has been reassessed within the departmental risk

		register and resulted in an amber rating.
Legal challenge of procurement process	<ul style="list-style-type: none"> Procurement process is challenged 	<p><i>Result = Departmentally managed</i></p> <ul style="list-style-type: none"> This risk has been considered and included within Corporate Resources departmental risk register and has not been rated as high/red
Managing demand for LCC services to reduce cost and provide better local services	<ul style="list-style-type: none"> Failure by LCC to effectively ascertain and manage increased demand for services heightened by: continuing cost pressures from ageing population and complex family support; insufficient business intelligence; devolving and managing externally commissioned services; state of the economy; changes in benefit system 	<p><i>Result = Consolidated</i></p> <ul style="list-style-type: none"> Ageing population – risk included in revised CRR (risk # 2) Complex family support – risk included in revised CRR (risk # 3 and 4) Increased demand – risk included in revised CRR (risk # 13) Commissioning - risk included in revised CRR (risk # 14) Benefit system - risk included in revised CRR (risk # 12)

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