

## Comparisons of Corporate Risk Registers

The East Midlands Risk Management Group (EMRMG) is a working group made up from the following organisations:

- Cambridgeshire County Council (CCC)
- Lincolnshire County Council (LCC)
- Hertfordshire County Council (HCC)
- Northamptonshire County Council (NCC)
- Milton Keynes Council (MKC)
- Rutland District Council (RDC)
- Norwich City Council (NoCC)
- Suffolk County Council (SCC)
- Warwickshire County Council (WCC)
- Leicestershire County Council (LeCC)
- East Northamptonshire District Council (ENDC)

Following on from the Audit & Accounts Committee Risk Training meeting held on 05/07/16 the Chairman asked for us to undertake a risk comparison exercise to compare other corporate risk registers to confirm that ours contained all the corporate risks; data from the Corporate Risk Registers (CRR) for each organisation who provided their CRR is collated below. The idea is to report on the common themes / findings for risk topics across the organisations and enable better reporting and benchmarking.

District / Organisation	Top risks	Common risks	Risk(s) on SRR
CCC	1) Failure to produce 5 year Business Plan 2) Failure to deliver current Business Plan 3) Standards of LGSS 4) People – staff / resources / skills 5) Best value from procurement and contracts 6) Failure to secure infrastructure funding 7) Safeguarding 8) Non compliance - legislative / regulatory requirements 9) Business Disruption 10) Total Transport programme fails to meet its objectives 11) Fraud and corruption 12) Lack of Information Management 13) Increasing manifestation of Busway defects 14) Pension Fund 15) Failure to address inequalities in the county 16) Failure to deliver Waste savings 17) Insufficient availability of affordable Looked After Children 18) Insufficient availability of care services at affordable rates	Business plans People Procurement Infrastructure Safeguarding Legislative /regulatory requirements Business Continuity Fraud Data Protection Pension Inequalities Waste Affordable LAC Care Services	18

LCC	<ol style="list-style-type: none"> <li>1) Safeguarding children</li> <li>2) Safeguarding adults</li> <li>3) BC planning / LRF risk – pandemic flu / flooding etc</li> <li>4) Market supply staff – live within budgets (Adult Care)</li> <li>5) Projects – deliver our major projects</li> <li>6) Budget constraints / future funding / financial resilience</li> <li>7) Governance – including service delivery</li> <li>8) People – staff / recruitment / retention in high risk areas</li> <li>9) Strategic contracts – fit for purpose?</li> <li>10) Information Governance – Agresso system / finance &amp; HR</li> <li>11) Cyber security – int &amp; ext. threats / malware attack</li> </ol>	<p>Safeguarding BC plans Adult Care Projects Budget Governance People / staff Cyber crime</p>	11
HCC	<ol style="list-style-type: none"> <li>1) Structural changes to NHS commissioning</li> <li>2) Over-reliance on regional or national resources or significantly reduced fire cover.</li> <li>3) People – Staff /recruitment / skills</li> <li>4) Insufficient money to support infrastructure needs</li> <li>5) Safeguarding</li> <li>6) Pension fund</li> <li>7) Waste Treatment Programme being impacted</li> <li>8) Non-compliance with the Care Act 2014 duties and customer dissatisfaction.</li> <li>9) HCS care providers becoming inadequate resulting in the death or severe abuse of a client</li> <li>10) An inability to conduct best interest assessments within legal timeframes</li> <li>11) Residents or staff become radicalised or drawn into terrorism</li> <li>12) Increased frequency of extreme weather events resulting from climate change – service delivery</li> <li>13) Authority does not develop sufficient timely proposals to deal with the ongoing reductions in funding/resources</li> <li>14) Insufficient skills in commissioning / contract management and competencies along with a lack of application of effective monitoring</li> <li>15) Inadequate capital being made available from a number of funding streams</li> <li>16) Reduction in government and external funding there is a risk of a gap - further reduce service spend</li> <li>17) Better Care Fund pooled budget may not be sufficient to meet future demand for services</li> <li>18) Staff are not fully competent in their roles, which could lead to the death, serious injury or harm to service users, members of the public or staff themselves</li> <li>19) Failure of the Local Resilience forum to provide adequate inter-agency plans</li> <li>20) Business Continuity Plans</li> <li>21) Risk of legal challenge to County Council policies or decisions – reputational</li> </ol>	<p>People Infrastructure Safeguarding Pension fund Waste Non-compliance Legislation Terrorism Climate change Budget Capital funding Business Continuity Legal challenge Industrial action Cyber attack Fraud Data protection Sale value of assets Health &amp; Safety</p>	34

	22) Failure to comply with safe staffing legislation and agreed HCC policy and practice 23) Failure in road inspection and / or fault reporting procedures 24) Under investment there is a risk that road maintenance levels can not be maintained 25) Failure to meet national training requirements 26) Industrial action 27) Health Protection emergency such as a communicable disease epidemic, radiological, chemical or biological agent exposure, or extreme weather conditions 28) Sale value of assets for disposal 29) Risk of a cyber attack 30) Fraud and corruption 31) Data Protection 32) Schools (academy & community) may use a supplier without the relevant background checks 33) Risk of an H&S incident to persons or property which could give rise to H&SE action and a liability claim 34) Filing to retain our annual Public Sector Network accreditation		
NCC	1) Council does not effectively plan how to deliver services 2) The Council does not deliver its plans 3) People – Staff /recruitment / skills 4) Insufficient number and range of school places 5) Safeguarding 6) Key partnerships fail to deliver effective outcomes 7) Actual revenue spend is not in accordance with its approved budget 8) Failure to provide the asset infrastructure 9) Pension Fund 10) Failure to comply with legislative and regulatory requirements 11) Decisions being made on the basis of incorrect/unreliable, untimely information or not in accordance with prescribed procedures 12) Data Protection 13) Fraud and corruption 14) Supply Chain failure 15) Industrial action	Business plan People School places Safeguarding Partnerships Budget Infrastructure Pension fund Legislation Data protection Fraud Supply chain Industrial action	15
MKC	1) Medium term financial challenge 2) Organisational capacity 3) Planning for cohesive growth 4) Safeguarding	Budget Growth Safeguarding	4
RDC	1) People – staff / recruitment / skills 2) Balanced budget 3) Safeguarding 4) Long term failure to achieve educational attainment 5) Infrastructure to support growth 6) Failure to secure delivery of change required within Health and Social Care 7) Failure to manage the public's perception of the Council	People Budgets Safeguarding Education Infrastructure Change H&SC Perception Health & Safety	10

	8) Failure to protect the health and safety of employees and members of the public 9) Data Protection 10) Failure to successfully manage the transition to new Leadership of the Council	Data Protection Transition of the Council	
NoCC	1) Customer demand 2) Delivery of corporate plan 3) Safeguarding 4) Delivery of Joint Core Strategy (JCS). 5) Housing Investment Strategy 6) Public sector funding 7) Income generation 8) The council has a legal duty to ensure it has a prudent level of reserves to conduct its business 9) Capital developments 10) Business continuity 11) ICT Strategy 12) Information security 13) Fraud and corruption 14) Industrial action	Customer demand Business Plan Safeguarding Infrastructure Budget Business continuity ICT Data protection Fraud and corruption Industrial action	14
SCC	1) Failure to identify hazards and manage health & safety risks appropriately 2) Fraud and corruption 3) Failure to identify and deliver sufficient savings to offset the significant grant reductions 4) Failure by the Borough/District Councils to collect Business Rates and Council Tax 5) Failure to change the Council's organisational culture 6) Industrial action 7) The failure of 3rd party divestees could lead to properties possibly being returned to the Council, resulting in unplanned property costs. 8) Business continuity 9) A skills and knowledge gap in contract management 10) Failure of a business critical supplier 11) Data protection 12) The current financial climate coupled with the ensuing harsh economic environment could result in the Council making decisions which adversely affect protected groups, with damaging consequences for the Council's reputation. 13) Failure of the various initiatives undertaken by the Council under the banner of 'Localism and Our Place' 14) Failure of the 'Better Broadband for Suffolk' project to deliver superfast broadband 15) Failure to effectively manage the Corporate Transformation Portfolio 16) If devolution fails to deliver the local freedoms, flexibility and finance needed to generate growth and reform public services 17) Failure to secure funding from the Local Growth Fund or local financial contributions	Health and safety Fraud and corruption Budget Culture Industrial action Property costs Business continuity Skills gap in contract management Data protection Reputation Transformation portfolio Devolution Local Growth Fund Waste Welfare Reform Asylum applications Living Wage Vulnerable Syrian refugees Education Grant funding Inspections Safeguarding People	35

	18) Failure to secure funding from the Local Growth Fund 19) Cost of the County Council's duty to dispose of domestic waste 20) The introduction of Welfare Reform could see the County Council experience an increase in referrals for support 21) Failure to achieve savings above existing QIPP (Quality, Innovation, Productivity and Prevention) programme savings 22) As the UK accepts asylum applications from some of the most vulnerable Syrian refugees this could cause additional financial pressures on ACS 23) Insufficient capacity in the homecare market to meet all social care and continuing health care 24) National legislation around the Living Wage will come into force in April 2016 which will impact on revenue costs and provider costs leading to an overall increase in the costs of care. 25) There is a risk that the Syrian refugee crisis will lead to increased demand on a range of children's services. 26) There is a risk that reduced grant funding for local authorities could lead to significant cuts in children's services 27) There is a risk that education standards do not increase sufficiently 28) There is a risk that partners cut their services or commission in silos leading to fragmentation and increased demand for our services 29) There is a risk that Inspection of CYP services judges us as inadequate 30) There is a risk that our participation and youth employment strategies do not deliver the expected improvements 31) Safeguarding 32) There is a risk that we fail to manage school places accurately 33) There is a risk that the School Organisation Review is not completed in line with requirements 34) There is a risk that increasing numbers of pupils means we cannot provide suitable local schools 35) People – recruitment / skills / resources		
WCC	1) Budget 2) Continuing pressure on Adult Social Services and Health 3) Safeguarding 4) regional partnership working fail to deliver optimum economic benefits 5) Inability to sustain risk critical fire and rescue functions 6) Business continuity 7) Ensuring sufficient provision of school places across the County 8) Meeting statutory requirements to drive improvement across all schools in the County 9) Data protection	Budget Safeguarding Partnerships Business Continuity School places Legislative / statutory requirements Data Protection	9

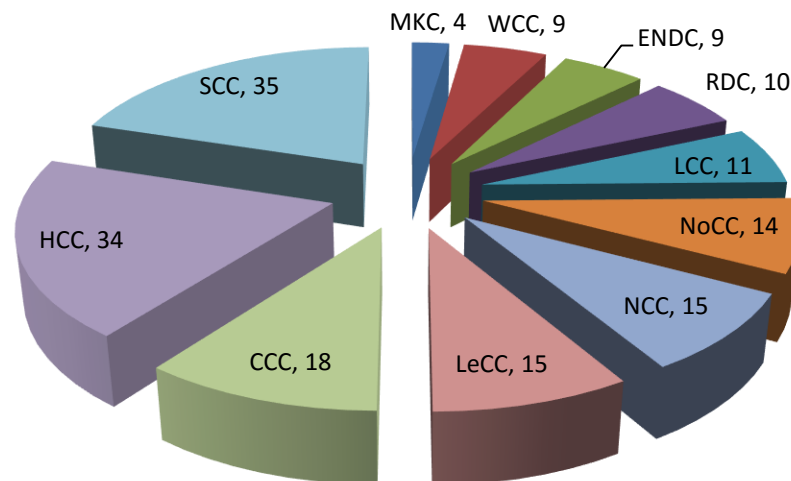
LeCC	<ol style="list-style-type: none"> <li>1) Ability to deliver savings through Service Redesign / Transformation</li> <li>2) If S106 monies for the Council as a whole are not managed properly then there could financial risks as well as legal challenges</li> <li>3) Social Care - If the number of high cost placements increases then there may be significant pressures on the children's social care placement budget, which funds the care of vulnerable children</li> <li>4) Education - If the provision of support to high needs pupils (including SEN placements) continues to increase, then the budget will be impacted upon</li> <li>5) Care Act 2014 - Funding risk for 2016/17 and beyond</li> <li>6) Health and social care economy's 5 year plan and strategic outline (investment) case</li> <li>7) Transferring patients early from UHL to ICRS 2 community services</li> <li>8) LCC and partners do not have the capacity to meet expected increase in demand caused by the Welfare Reform Act</li> <li>9) Business continuity</li> <li>10) Data protection</li> <li>11) ICT disruption</li> <li>12) Data protection</li> <li>13) If partners do not provide data (Phase 2) then it may not be possible to achieve improved outcomes and financial benefits of Supporting Leicestershire Families (SLF).</li> <li>14) If the Authority does not obtain the required value and level of performance from its providers and suppliers then the cost of services will increase and service delivery will be impacted</li> <li>15) Safeguarding</li> </ol>	<p>Budgets Legislative / statutory requirements Care Act 2014 Business Plan Increase in demand Business continuity Data Protection Safeguarding</p>	15
ENDC	<ol style="list-style-type: none"> <li>1) Failure to maintain effective relationships with partners</li> <li>2) Growth of district is poorly managed</li> <li>3) Anticipated level of growth in district is not achieved</li> <li>4) Ineffective training in key areas</li> <li>5) Loss due to major court cases</li> <li>6) Lack of engagement with and provision of services by the Voluntary and Third Sector</li> <li>7) Contractor non-compliance with health and safety legislation</li> <li>8) Failure of core ICT infrastructure leading to inability to provide statutory services</li> <li>9) Lack of staff resources in terms of numbers and/or knowledge skills and behaviour</li> </ol>	<p>Partnerships Growth Training Legislation ICT Infrastructure People</p>	9

## Analysis of common themes / risks:

The amount of risks on each Corporate Risk Register ranged from 4 (Milton Keynes Council) to 35 (Suffolk County Council).

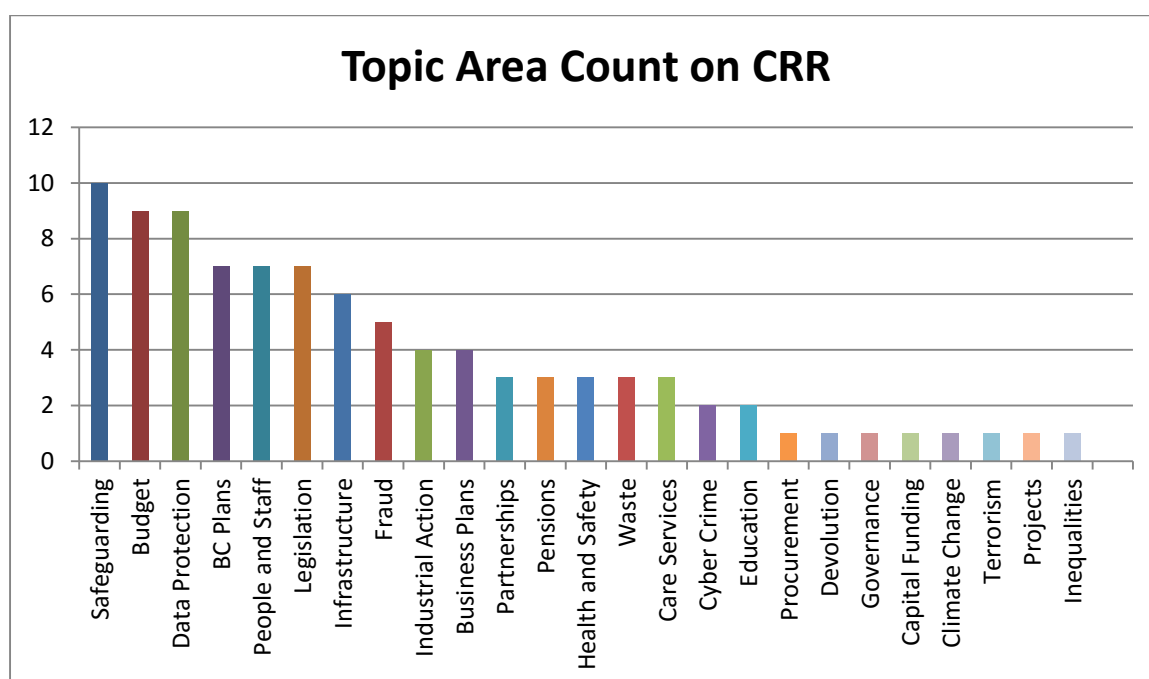
District / Organisation	Number of SRR Risks
MKC	4
WCC	9
ENDC	9
RDC	10
LCC	11
NoCC	14
NCC	15
LeCC	15
CCC	18
HCC	34
SCC	35

### Number of Risks on Corporate Risk Registers



Common topic areas across the range of EMRMG participant's Corporate Risk Registers are as follows:

Common topic	Count	Common topic	Count
<b>Safeguarding</b>	10	<b>Waste</b>	3
<b>Budget</b>	9	<b>Care Services</b>	3
<b>Data Protection</b>	9	<b>Cyber Crime</b>	2
<b>BC Plans</b>	7	<b>Education</b>	2
<b>People / Staff</b>	7	<b>Procurement</b>	1
<b>Legislation</b>	7	<b>Devolution</b>	1
<b>Infrastructure</b>	6	<b>Governance</b>	1
<b>Fraud</b>	5	<b>Capital Funding</b>	1
<b>Industrial Action</b>	4	<b>Climate Change</b>	1
<b>Business Plans</b>	4	<b>Terrorism</b>	1
<b>Partnerships</b>	3	<b>Projects</b>	1
<b>Pensions</b>	3	<b>Inequalities</b>	1
<b>H&amp;S</b>	3		



As can be seen from the above chart, Safeguarding was the most common theme across all the Corporate Risk Registers that have been reviewed. In equal second place were the topics of Budgets and Data Protection closely followed by Business Continuity Plans, People and Staff and Legislation related topic areas. From this comparison Cambridgeshire County Council can be confident that their current CRR contains the majority of the risks from the other CRR reviewed. There are several risks on the other risk registers that solely relate to the individual organisation likewise with our Guided Busway risk.