

Strategic Risk Register

Version: 1.1 Date: February 2012

Owner : Tony McArdle



Priority Heading 1 Promoting Community Wellbeing & Resilience

No of risk	Risk Owner	Risk description	Indicative Risk Appetite (How much risk are we prepared to take & the total impact of risk we are prepared to accept)		Current RAG Rating High, Medium or Low	Target RAG Rating High, Medium or Low	Actions	Assurance Status Full, Substantial, Limited, No	Notes / Comments
			<u>Hungry</u> (projects & major change - Need to be innovative and take higher risks for greater reward - higher levels of devolved authority)	<u>Open & aware/ cautious</u> (partnerships - Recognised that we work differently with different partners)					
1	Richard Wills	Not collaborating with partners effectively to deliver the flood risk management (FRM) strategy for Lincolnshire	<u>Hungry</u> (projects & major change - Need to be innovative and take higher risks for greater reward - higher levels of devolved authority)	<u>Open & aware/ cautious</u> (partnerships - Recognised that we work differently with different partners)	Medium	Medium	Adapting to environmental change - group of actions as follows: <ul style="list-style-type: none"> • Preliminary Flood Risk Assessment (D.Hickman) • Flood Risk Management Plans (D.Hickman) • Implement Flood Risk Management schemes, i.e. Horncastle / Louth (P.Coathup) • LCC as a lead in influencing other people & agencies to direct resources to Lincs 	Limited	<ul style="list-style-type: none"> • Flood and Water Management Act 2010 implements a number of recommendations for the Pitt Review. With regards to SuDS and surface water drainage, the Act calls for the establishment of a SuDS Approving Body (SAB) - the CC will become the SAB for Lincs. • EA - ptship funding scheme - sliding scale 100% downwards to encourage funding from other partners.
2	Peter Duxbury (Debbie Barnes)	Failure to safeguard children	<u>Cautious</u> (Regulatory standing & legal compliance - recognised may need to change the ways things are done but will be tightly controlled)		High	High	<ul style="list-style-type: none"> • Section 11 requirements across whole council • Audit of Section 11 (Being conducted by People Management - Induction, Recruitment, Contract) • Ofsted • Audit information to DMT • DMT audit of safeguarding activity review • Safeguarding performance days • Independent officers - review care plans, review quality - act as eyes & ears for DMT 	Substantial	<ul style="list-style-type: none"> • Issue of safeguarding needs to be owned across the organisation. Recent campaign raising awareness.
3	Tony McArdle	Failure to safeguard and identify vulnerable adults	<u>Cautious</u> (Regulatory standing & legal compliance - recognised may need to change the ways things are done but will be tightly controlled)		High	High	New risks identified and we need to work with the new director of adult services to evaluate	Limited	Issues to consider: <ul style="list-style-type: none"> • Resources needed - capacity & capability • Pace of change • Engagement with people & providers • Informed decision making
4	Tony McArdle	Failure to create the market and develop / procure services to meet the personalisation agenda	<u>Cautious</u> (Regulatory standing & legal compliance - recognised may need to change the ways things are done but will be tightly controlled)		Medium	Medium	New risks identified and we need to work with the new director of adult services to evaluate	Limited	

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5	Tony McArdle	Failure to proactively manage & respond to change in elderly demographics (in the context of available budgets & other priorities)	Cautious (Regulatory standing & legal compliance - recognised may need to change the ways things are done but will be tightly controlled)	Medium	Medium	New risks identified and we need to work with the new director of adult services to evaluate	Limited	
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Priority Heading 2 Commissioning for outcomes based on our Communities' needs

No of risk	Risk Owner	Risk description	Indicative Risk Appetite	Current RAG Rating High, Medium or Low	Target RAG Rating High, Medium or Low	Actions	Assurance Status Full, Substantial, Limited, No	Notes / Comments
6	Pete Moore	Strategic contracts don't deliver	Open & aware (Finance & money - No Surprises - prepared to invest for reward and minimise the possibility of financial loss by well measured risk taking) Open & aware/cautious (Partnerships - Recognised that we work differently with different contractors / partners)	Medium	Medium	<ul style="list-style-type: none"> Comprehensive contracts register Review of best practice in procurement & contracting (DO'C) Review of views on commissioning approaches for LCC, i.e. planning for the future (PM) Assurance arrangements in place to ensure compliance Ensure strategic partners have robust business continuity plans for the services they deliver to the CC 	Limited	<ul style="list-style-type: none"> Paper to CMB in next few weeks on outcomes from review work - Bill Pickbourn leading on., supported by People Mgmt Respond to Peer Review question: How are you ensuring there is a corporate focus as req'd for a corporate commissioning strategy?

Priority Heading 3 Making the best of all our Resources

No of risk	Risk Owner	Risk description	Indicative Risk Appetite	Current RAG Rating High, Medium or Low	Target RAG Rating High, Medium or Low	Actions	Assurance Status Full, Substantial, Limited, No	Notes / Comments
7	Pete Moore	Loss of funding and maintaining financial resilience	Open & aware (Finance & money - No Surprises - prepared to invest for reward and minimise the possibility of financial loss by well measured risk taking - allocating resources in order to capitalise on potential opportunities)	High	Medium	<ul style="list-style-type: none"> Sound process on trying to protect where funding is going supported by Medium Term Financial Strategy Efficiency Agenda Good financial management with monitoring arrangements in place Building flexibility to deal with in-year changes Accountability framework More capability and capacity required to ensure momentum maintained on Core Offer & Efficiency agenda. 	Substantial / Limited	<ul style="list-style-type: none"> Still come uncertainty given current senior management changes Efficiency Agenda broadly on-track accepting ASC behind track but compensated by other areas - still needs to be managed aggressively to ensure momentum.

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8	Tony McArdle	Failure to deliver the Councils priorities that have been determined by full council	Hungry (Reputation & Public confidence - Comfortable with taking decisions that are likely to bring scrutiny of the Council but where potential benefits outweigh the risks. Recognise that highly devolved decisions making will mean that not all risks known - take action when uncertain of results or with uncertain info - willing to accept significant loss for potential higher rewards)	Low	Low	<ul style="list-style-type: none"> Organisational strategy developed and approved Revised vision & purpose Business plan developed to implement strategy Performance Management in place to track actions against plan Business plan delivery monitored by Executive, Management board and Scrutiny 	Substantial / Limited	<ul style="list-style-type: none"> Delivery of a challenging change programme key to success - but we have a good track record of delivery Governance arrangements need to be reviewed / streamlined - including accountability & leadership learning Emerging issue - Local impact v's delivery of business plan priorities
9	David O Connor	Failure to maintain effective governance arrangements	Hungry (Reputation & Public confidence - Comfortable with taking decisions that are likely to bring scrutiny of the Council but where potential benefits outweigh the risks. Recognise that highly devolved decisions making will mean that not all risks known - take action when uncertain of results or with uncertain info - willing to accept significant loss for potential higher rewards)	Medium	Low	<ul style="list-style-type: none"> Governance Framework needs modifying to adapt to changing organisational environment - less prescriptive in style, with balancing of risk & accountability. Implement new member standards arrangements, Common Code of Conduct and Register of Interests - across Lincs LA's with local investigation and hearing of alleged breaches customised within the legal framework (by July '12) 	Substantial	<ul style="list-style-type: none"> Governance in the organisation has improved over the years. Feel we have good gov at the moment but need to be reviewed and modified as necessary to adapt to the changing organisational environment - step back and review
10	David O Connor	We do not have an agile, skilled or motivated workforce	Averse (People - Recognise that our staff are a valuable resource that requires investment by us to help sustain their health & wellbeing - low risk options taken to minimise exposure)	Medium	Low	<ul style="list-style-type: none"> Major review of HR policies & processes (more about promoting people to 'trust') New People Management Strategy 	Substantial	<ul style="list-style-type: none"> Proof of concept - Supporting Change - integral part of People Strategy Need to ensure our support mechanisms are fit for purpose and equip people to meet the new challenges they'll be facing Help the new workforce to develop strong skills in leadership / commissioning / finance mgnt / contracting.

Priority Heading 4 Investing in infrastructure and provision of services

No of risk	Risk Owner	Risk description	Indicative Risk Appetite	Current RAG Rating High, Medium or Low	Target RAG Rating High, Medium or Low	Actions	Assurance Status Full, Substantial, Limited, No	Notes / Comments
11	Richard Wills	Our infrastructure fails to support delivery of our services & economic growth in Lincolnshire	Hungry (Projects & Major change - Need to be innovative and take higher risks for greater reward - high levels of devolved authority - management by trust rather than tight control - 'break the mould' and challenge current working practices)	Medium	Medium	<ul style="list-style-type: none"> Delivery of key Highways projects (x4) - 1. Spalding Relief Road, 2. Grantham Stn By-pass, 3. Lincoln Eastern By-pass, 4. Lincoln East/West Link Delivery of Broadband Delivery project Delivery of Energy from Waste project 	Separate levels of assurance are given for each key area of major change associated with this risk: TBC (Highways) Limited (Broadband Delivery) Substantial (EFW)	<ul style="list-style-type: none"> Actions based around the delivery of major change projects in 3 key areas - Highways / Broadband / EFW Don't have all funding in place yet for Broadband - still assembling - once match funding secured from DC's will then be close to 'Substantial' assurance. Until Broadband Delivery model designed, won't know if it will support the Economic Growth Model.

Priority Heading 5 Influencing, Co-ordinating and supporting other organisations

No of risk	Risk Owner	Risk description	Indicative Risk Appetite	Current RAG Rating High, Medium or Low	Target RAG Rating High, Medium or Low	Actions	Assurance Status Full, Substantial, Limited, No	Notes / Comments
12	Tony McArdle	Failure to work with other organisations to deliver our contribution to Lincolnshire's VISION	<u>Open & aware</u> (Partnerships - Recognise that we work differently with different partners)	Medium	Low	<ul style="list-style-type: none"> • Strategy around Big Society • Delivery of some Shared Services • Delivery of key initiatives, e.g. Families working together & total environment • Joint Strategic Needs Assessment / Jnt Health & Wellbeing Strategy • Initiatives to improve joint working with DC's (WLDC) e.g. Broadband match funding from districts • Regular engagement with CX & Leader 	Substantial / Limited	<ul style="list-style-type: none"> • Good partnership working but sharing budgets an obstacle • Working effectively together - still need work to strengthen this area • Work planned on developing a joint commissioning strategy with Health • Developing the Council's approach to commissioning • Work required following consultation on Big Society • Do we have better ways to share budgets?

Priority Heading 6 Good Governance

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13	Tony McArdle	Fail to protect and manage the reputation of the Council	<u>Hungry</u> (Reputation & public confidence - Comfortable with taking decisions that are likely to bring scrutiny of the Council but where potential benefits outweigh the risks)	Medium	Medium	<ul style="list-style-type: none"> • Good communication team who effectively work with local media • Recognising the importance and use of social media • Strategic review of web • Managing FOI's strengthened - with media impact accessed 	Substantial	<ul style="list-style-type: none"> • Do we need to get better at recognising things will go wrong and learn from our mistakes?

Other Risks

No of risk	Risk Owner	Risk description	Indicative Risk Appetite	Current RAG Rating High, Medium or Low	Target RAG Rating High, Medium or Low	Actions	Assurance Status Full, Substantial, Limited, No	Notes / Comments
14	Tony Hill	Fail to integrate Public Health responsibilities, staff and budget	Cautious (Willing to take risks but prefer to take the 'safe delivery option' - minimising the exposure with tight corporate controls over change)	High	Low	<ul style="list-style-type: none"> • Delivery of Public Health Transition Plan (final Ver due by end Mar '12) • Develop an integrated Directorate Risk Register (Risks to be trfd from PCT, plus existing PH dept risks) 	Substantial	<ul style="list-style-type: none"> • Formal resp's for PH come on board April '13. PCT essentially going out of business wef Mar '13. • Still some unknowns around what PH covers yet - awaiting guidance • Will have shadow budget for 12/13 but don't know what this is yet • Budget risk - expectations of what it will need to be used on unclear at this time. • Staffing Risk - Anxiety re: pay, pensions, T&C's as moved to LCC, also difficult to recruit • PCT working on integrated Directorate RR
15	David O'Connor	Judicial challenge on the way we implement transformational change and decisions affecting service delivery	Hungry (Reputation & Public Confidence - Comfortable with taking decisions that are likely to bring scrutiny of the Council but where potential benefits outweigh the risks)	Medium	Low	<ul style="list-style-type: none"> • Application of appropriate Consultation processes • In-depth legal involvement with all 'high' risk decisions (SophieR) • Improved Impact Assessment Process (JS) 	Substantial	<ul style="list-style-type: none"> • Legal leading on piece of work around 'Public Law' and reviewing our consultation processes, i.e. key areas of where things could/have gone wrong in the past.