

Risk Management Progress Report

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Contact Details:
Sarah Tennant, RRP, CMIOSH
Strategic Risk Manager



County Offices, Newland, Lincoln, LN1 1YG
☎:01522 552206 📧 sarah.tennant@lincolnshire.gov.uk

Introduction

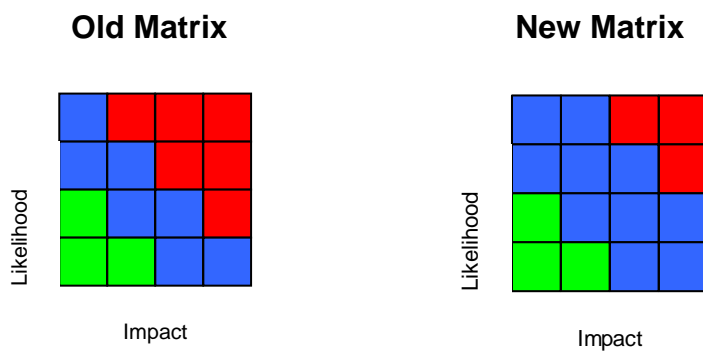
1. The purpose of this report is to:
 - Provide an update on the key strategic risks facing the Council
 - Present a copy of the revised Risk Management Strategy
 - Provide an overview of the collaborative working undertaken with partners across the county to share our new approaches to risk management
 - Share details of our recent successes
 - Provide an outline of the activities we have planned for the remainder of this year to help support the Council in developing a culture of being “*creative & aware of risk*”.

Key Messages

2. Overall, progress during the past six months on managing the Council's strategic risks has been good. Risk owners are fully engaged and have demonstrated a good level of awareness regarding their risks. The practice of obtaining a level of ‘management’ assurance and ‘direction of travel’ for each risk is proving useful, especially in enabling greater transparency on the level of confidence each owner has in the actions being taken to manage the risks.
3. There have been no sudden or unexpected changes to the overall and individual risk statuses.
4. A discreet Assurance Map has been developed based on the contents of the Strategic Risk Register. Relevant risks are being pulled through and reported on as a part of the council's Combined Assurance Model.
5. The pace of change and decision making within the area of Adult Social Care (ASC) is likely to be rapid over the coming months. We should expect to see improvements in the overall levels of assurance and direction of travel for Risk 3: Safeguarding Adults and Risk 5: ASC not able to live within budget, as developing actions start to come to fruition. A separate report is being provided to this Committee giving a more in-depth insight into the assurances currently in place in Adult Social Care.
6. We are receiving a good level of interest and engagement from service areas requesting training and development opportunities for staff to help them become more ‘*aware of risk*’.

Update on the Strategic Risk Register

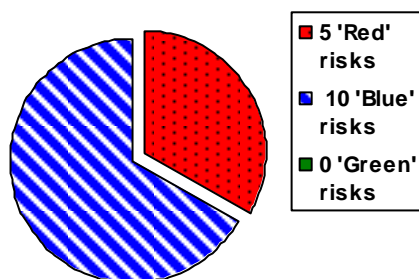
7. The total number of strategic risks remains static at 15, this being the same as when last reported to the Committee in April 2012. A copy of the full Strategic Risk Register can be found in Appendix 1.
8. Members may spot one significant change to the register since it was last presented to the Committee. This is that the ‘matrix’ on which the risks are plotted has been altered, e.g. the amount of RED zone has been reduced creating more BLUE middle ground where the requirement for tight control and comprehensive contingency planning is less stringent.



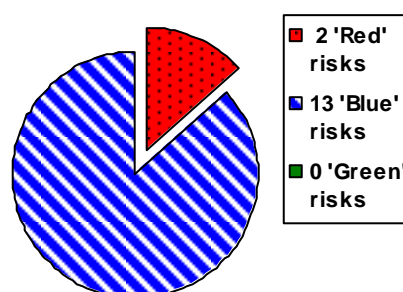
This change to the matrix is reflective of the current ‘tone from the top’ for the organisation to become more Open & Aware, and in some cases, more accepting of risk, thereby removing the expectation that all risks have to be managed ‘down & out’.

9. As at **October 2012** the Council’s overall strategic risk exposure looked as follows,

Current Risk Exposure
(as at October 2012)



Target Risk Exposure
(by April 2013)



Key to ‘Risk’ colour coding:

Red: require comprehensive controls, frequent monitoring & reporting and comprehensive contingency plans.

Blue: require cost effective controls, regular monitoring & reporting and outline contingency plans.

Green: cheap and easy controls, periodic monitoring & reporting and contingency plans not essential.

10. Key areas/risks to note are as follows:

Risk 3: Safeguarding Adults

The number of ‘developing’ actions attached to this risk means that the current level of management assurance is considered to be Limited. The direction of travel is however ‘Improving’ suggesting that management of this risk is in-hand.

Risk 5: ASC not able to live within budget

This risk will materialise in the current financial year as the service is projecting a net overspend of £7m. Under spends elsewhere in the Council means that in total the Council is still projecting a modest under spend for the year. An independent study is looking at the extent of any under funding of the service that may potentially exist with a view to realigning future year’s base budgets if justified. A transformation programme is underway designed to fundamentally reconfigure the service from 2014/15 on wards.

Risk 8: Delivery of Council Priorities

It is expected that attainment of the target score will be achievable once certainty of capacity to deliver priority projects is obtained.

Risk 9: Maintenance of effective governance arrangements

A greater level of management assurance will be given once a formal plan for modifying the current governance framework is in place.

Risk 13: Protect and manage the reputation of the Council

This risk carries a significant inter-dependency on the effective management of all the other strategic risks to prevent any major reputational “fall-out”.

Risk Management Strategy & Toolkit

11. Members will recall that in April 2012 they were presented with a report outlining a proposed set of risk management priorities which, it was suggested, would form the basis of a new and updated Risk Management Strategy for the Council.
12. Since then, having also engaged extensively with the Corporate Risk & Safety Steering Group, we have finalised the strategy, a copy of which can be found in Appendix 2.
13. The committee are asked to consider the new Risk Management Strategy and, subject to any changes deemed necessary, approve its publication and promotion across the council.
14. In support of and to help the strategy ‘come to life’, we are currently in the process of putting the final touches to a new Risk Management Toolkit. The Toolkit has been produced to help develop good risk management practice across the council by enabling our people to become more ‘aware’ of risk and equip them to know what to ‘do’ about risks.

15. The toolkit provides a range of tools, techniques, templates, and practical advice for all aspects of risk management. It can be used as an aide memoir alongside a number of other action based learning activities which are being developed by the Risk Management Team, or, as a stand-alone self-learning guide.

Collaborative Working & Successes

16. Following on from the success of our work in ‘testing-out’ the Council’s appetite for risk, word of our new approach has spread amongst our peers around the county leading to us being invited to support a number of partner organisations to help them understand their ‘appetite’ for risk. To date, we have run facilitated workshops for elected member, senior and middle management groups in the following organisations:

- West Lindsey District Council
- East Lindsey District Council
- North Kesteven District Council
- City of Lincoln Council
- Lincolnshire Probation Trust

17. The feedback received from all of these sessions has been very good and supportive of our work and approaches. Equally, it has been useful for us to gain an understanding of the wider appetites of these partner organisations and enlightening to discover that, for the main part, there are many similarities in views to which there are often common or joint solutions.

18. In late April this year, using our work done on ‘Risk Appetite’ we submitted an entry into the Strategic Risk category of the 2012 Annual Awards run by the Association of Local Authority Risk Managers (ALARM). To our surprise, at the annual awards dinner held in June we received an award of “Highly Commended” for our innovative risk management work.

19. We have also been asked to share our approach on both Risk Appetite and our Combined Assurance Model with other Councils. The Head of Audit and Risk Management will be participating in a number of CIPFA seminars and training events over the next few months.

Next Steps

20. Our priorities for the remainder of this year (2012/13) are as follows:

- Publish and promote the new Risk Management Strategy
- Continue to track and monitor progress of how the council's strategic risks are being managed
- Maintenance of the Strategic Risk Register Assurance Map
- Continue to provide 6 monthly progress reports to the Audit Committee (or by exception where necessary)
- Develop a range of action based learning activities for all staff to engage with to assist the council in developing a culture of being "*creative & aware of risk*".

21. We have recently been approached by the Public Health Directorate who, in addition to wanting to run a Risk Appetite session for their Directorate Management Team, has also expressed an interest in trialling out the new risk awareness training and learning activities that we are currently developing.

Appendix 1 – Strategic Risk Register

STRATEGIC RISK REGISTER

Version: 1.3

Reviewed: September 2012 - Links to Council Priority Activities denoted by 'CP' indicator

Owner : Tony McArdle - Chief Executive



Priority Heading 1 Promoting Community Wellbeing & Resilience

No of risk	Risk Owner	Risk description	Risk Appetite (How much risk are we prepared to take & the total impact of risk we are prepared to accept)	Current Risk Score	Target Risk Score	Assurance Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)	Actions
1	Richard Wills	Delivery of our responsibilities as a local lead flood authority	<p>Hungry</p> <p>(projects & major change - Need to be innovative and take higher risks for greater reward - higher levels of devolved authority)</p> <p>Open & aware/cautious</p> <p>(partnerships - Recognised that we work differently with different partners)</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Substantial	Improving ↑	<p>Adapting to environmental change - group of actions as follows:</p> <ul style="list-style-type: none"> Operational Action Plan supporting the Flood RM Strategy (3 yr schedule reviewed annually) Implement Flood Risk Management schemes, i.e. Horncastle / Louth LCC as a lead in influencing other people & agencies to direct resources to Lincs (CP) (occurs through links with LGA / DEFRA) Flood Risk Management Strategy 2025 Collaboration with flood risk & drainage framework partnership Flood Risk Emergency Plan (with links to Emergency Planning)
2	Debbie Barnes	Safeguarding children	<p>Cautious</p> <p>(Regulatory standing & legal compliance - recognised may need to change the ways things are done but will be tightly controlled)</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Substantial	Static →	<ul style="list-style-type: none"> Audit of Section 11 (Being conducted by People Management - Induction, Recruitment, Contract) Ofsted (unannounced - 3 yrly - last done 2010) Audit & Performance information to DMT for scrutiny Safeguarding Assurance days Independent Chairs - review care plans & quality - act as eyes & ears for DMT Peer Challenge (East Midlands Group) - due in July '12. Team Manager Audits Management & investigation of complaints at local level Childrens Safeguarding Board Development of Performance Framework for Quality Assurance mechanisms Practitioner Supervision & Appraisal
3	Tony McArdle	Safeguarding adults	<p>Cautious</p> <p>(Regulatory standing & legal compliance - recognised may need to change the ways things are done but will be tightly controlled)</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Limited	Improving ↑	<ul style="list-style-type: none"> Development of 'Markers of Good Practice' Develop & Implement Multiagency Safeguarding Policy & local Procedures Adults Strategic Safeguarding Board Virtual integration between policy, practice & strategy Develop & implement suitable assurance framework for commissioned services (that considers safeguarding) Develop & implement suitable assurance framework for Personal Budgets (that considers safeguarding) Develop & implement programme of Provider Quality Assessments Review of Internal Quality Assurance mechanisms - Quality Development Team Established Safer Practices Group CQC Information Sharing Meetings Delivery of Safeguarding training to providers as part of 'Supporting Proprietors - Leadership & Management' Programme

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4	Tony McArdle	Adequacy of market supply to meet eligible needs for adults	Cautious (Regulatory standing & legal compliance - recognised may need to change the ways things are done but will be tightly controlled)			Limited	Improving ↑	<ul style="list-style-type: none"> Obtain better data & knowledge about market to map our providers - what services delivered & where. Continued improved relationships with providers Develop additional frameworks to broaden the market, i.e. day services Develop further diversification of the market, i.e. multiple providers being able to offer multiple services Targetted market stimulation - geographic or service based on micro-level according to need and based on good intelligence. Home Care Rates - consulting & understanding the market place better Residential & Nursing care fee level within ASC fixed for 3 years Develop right mix of skills to become a commissioner of services Development of 'my care - my choice' microsite Temporary transfer of contracting function to Procurement Lincs – to be reviewed Oct '12
5	Tony McArdle	ASC not able to live within budget	Cautious (Regulatory standing & legal compliance - recognised may need to change the ways things are done but will be tightly controlled)		 	Limited	Static →	<ul style="list-style-type: none"> Delivery of ASC Transformation (CP) Delivery of ASC Performance Improvement Projects (CP) Development of Financial Risk Log - better understanding of overspend & key areas of concern Budget arrangements for 2013/14 and beyond - to inc robust information for Members to make informed decisions Greater commitment/ownership by managers to manage their budgets Options appraisal around Learning Disabilities Make the Resource Allocation System work harder

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Priority Heading 2 Commissioning for outcomes based on our Communities' needs

No of risk	Risk Owner	Risk description	Risk Appetite	Current Risk Score	Target Risk Score	Assurance Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)	Actions
6	Pete Moore	Delivery of Strategic contracts	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)			Limited	Static 	<ul style="list-style-type: none"> Comprehensive contracts register Review of best practice in procurement & contracting - ensuring good practice is consistent across the council (DOC) Become a Commissioning Council (1. Commissioning 2. Procurement 3. Good Contract Management) (CP) Assurance arrangements in place to ensure compliance - performance monitoring of strategic contracts Ensure strategic partners have robust business continuity plans for the services they deliver to the CC Future Delivery of Support Services (CP) Local Procurement (CP)

Priority Heading 3 Making the best of all our Resources

No of risk	Risk Owner	Risk description	Risk Appetite	Current Risk Score	Target Risk Score	Assurance Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)	Actions
7	Pete Moore	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)			Substantial	Static 	<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. Council Priority Activities agreed & delivery of major projects managed / monitored. Close working with DC's on funding arrangements Planning longer term for next CSR.
8	Tony McArdle	Delivery of 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)			Limited	Declining 	<ul style="list-style-type: none"> Organisational strategy Revised vision & purpose (agreed Feb '12) Business plan developed to implement strategy (agreed Feb '12) Resourcing for delivery of Priority Projects - paper to CMB 4th July Performance Management in place to track actions against plan Business plan delivery monitored by Executive, Management board and Scrutiny

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9	David O Connor	Maintainance of effective governance arrangements	<p>Hungry</p> <p>(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 potetnial higher rewards)</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Limited	Static →	<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 - needs a formal plan. • Implement new member standards arrangements, Common Code of Conduct and Register of Interests - due to commence 1st July '12 • Local Code of Conduct based on LGA been adopted.
10	David O Connor	Requirement to have an agile, skilled and motivated workforce	<p>Averse</p> <p>(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)</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Substantial	Static →	<ul style="list-style-type: none"> • Major review of HR policies & processes (more about promoting people to 'trust') • New People Strategy (CP) • Resourcing for delivery of Priority Projects - paper to CMB 4th July

Priority Heading 4 Investing in infrastructure and provision of services

No of risk	Risk Owner	Risk description	Risk Appetite	Current Risk Score	Target Risk Score	Assurance Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)	Actions
11	Richard Wills	Infrastructure is required to support delivery of our services & economic growth in Lincolnshire	<p>Hungry</p> <p>(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)</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Limited	→	<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 (CP) • Delivery of Broadband Delivery project (CP) • Delivery of Energy from Waste project (CP)

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

No of risk	Risk Owner	Risk description	Risk Appetite	Current Risk Score	Target Risk Score	Assurance Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)	Actions
12	Tony McArdle	Work with other organisations to deliver our contribution to Lincolnshire's VISION	<p>Open & aware</p> <p>(Partnerships - Recognise that we work differently with different partners)</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Limited - view given on the basis of 'developments' needed	<p>Static</p> <p>→</p>	<ul style="list-style-type: none"> • Strategy around Big Society (CP) • Delivery of some Shared Services • Delivery of key initiatives, e.g. Families working together (CP) / Total Environment / Youth & Community Development (CP) • Jnt Health & Wellbeing Strategy - to be signed off • Initiatives to improve joint working with DC's e.g. Broadband match funding from districts / Working with WLDC (CP) • Regular engagement with CX & Leader • Lincolnshire Leaders Meeting - need planning to agree what to get involved in. • Seek clarity around Health Reform, i.e. CCG's

Priority Heading 6 Good Governance

No of risk	Risk Owner	Risk description	Risk Appetite	Current Risk Score	Target Risk Score	Assurance Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)	Actions	
13	Tony McArdle	Protect and manage the reputation of the Council	<p>Hungry</p> <p>(Reputation & public confidence - Comfortable with taking decisions that are likely to bring scrutiny of the Council but where potential benefits outweigh the risks)</p>	<p>Open & aware</p> <p>(Regulatory standing & legal compliance - Even if challenge will be problematic - it's an acceptable risk where we are likely to win and the gain will outweigh the adverse consequences)</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Limited	<p>Declining</p> <p>↓</p>	<ul style="list-style-type: none"> • Communication team seeks to work with local media. • Recognising the importance and use of social media • Develop Action Plan following strategic review of web • Consistent approach to managing FOI's <p>Note: carries a significant dependency upon the effective management of the other strategic risks to prevent any major reputational 'fall-out', i.e. safeguarding.</p>

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Other Risks

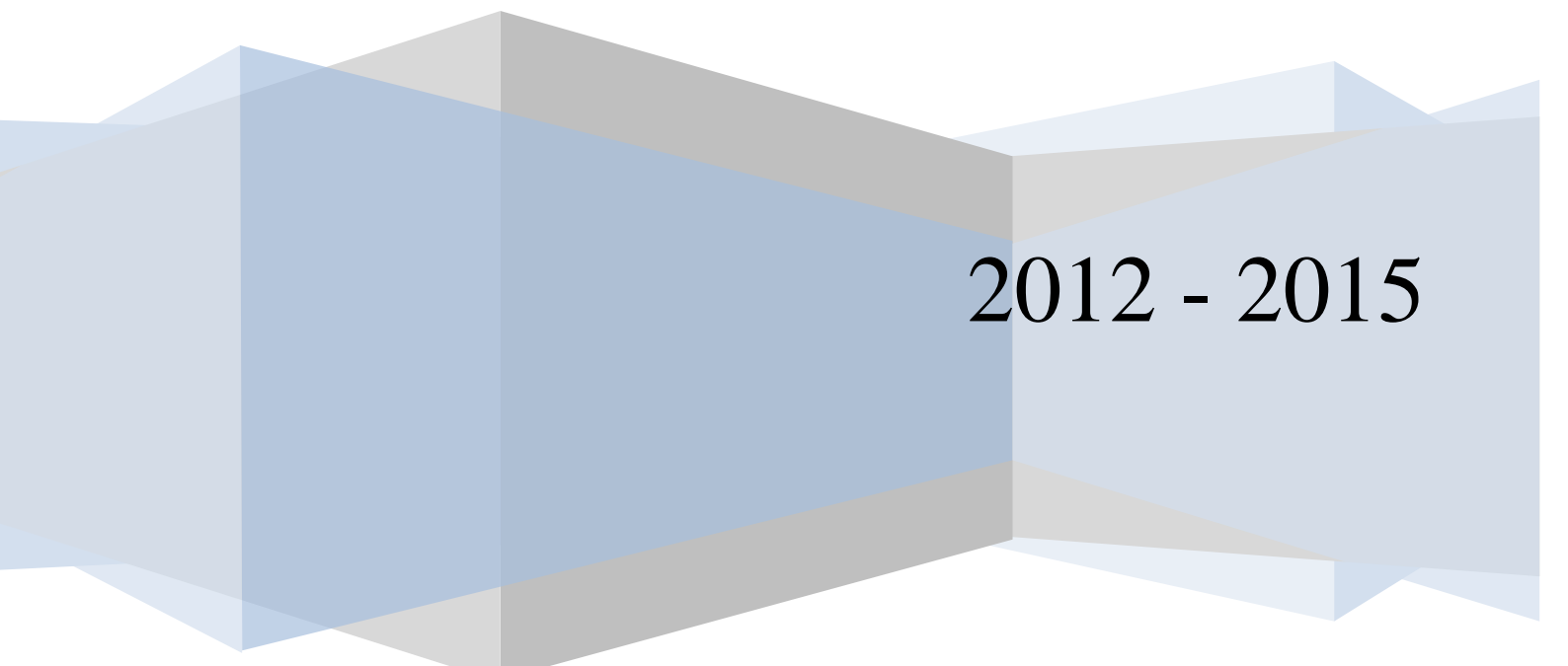
No of risk	Risk Owner	Risk description	Risk Appetite	Current Risk Score	Target Risk Score	Assurance Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, static, Declining)	Actions	
14	Tony Hill	Integration of Public Health responsibilities, staff and budget	<p>Cautious</p> <p>(Willing to take risks but prefer to take the 'safe delivery option' - minimising the exposure with tight corporate controls over change)</p>			Substantial	<p>Static</p>	<ul style="list-style-type: none"> • Delivery of Public Health Transition Plan (CP) - up to March 2013 (final Ver due by end Mar '12) • Develop an integrated Directorate Risk Register (Risks to be trfd from PCT, plus existing PH dept risks) • Governance & Transition Steering group • Staff engagement Group • HR Working group - action plans in place • Finance & Contracting working group action plans in place • Monthly Gaunt chart • Transition plan • Management of Project risk & Issues log • Project monitoring & reporting arrangements in accordance with CC Project Management Standard • Processes, IT and Info Sources Working Group - with action plan 	
15	David O'Connor	Judicial challenge on the way we implement transformational change and decisions affecting service delivery	<p>Hungry</p> <p>(Reputation & Public Confidence - Comfortable with taking decisions that are likely to bring scrutiny of the Council but where potential benefits outweigh the risks)</p>	<p>Open & aware</p> <p>(Regulatory standing & legal compliance - Even if challenge will be problematic - it's an acceptable risk where we are likely to win and the gain will outweigh the adverse consequences)</p>			Substantial	<p>Static</p>	<ul style="list-style-type: none"> • Application of appropriate Consultation processes • In-depth legal involvement with all 'high' risk decisions • Impact Assessment Process • Review Council Complaints (CP)

Appendix 2 – Risk Management Strategy



Thinking about Risk

Our Risk Management Strategy



2012 - 2015

Aim

The aim of this strategy is to provide an effective framework for the Council to manage the key risks facing our services and the successful delivery of our Business Plan 2012-2015.

It supports the Council's *Vision* of '*working better for you*' by...

- Building on our strengths
- Protecting your lifestyle
- Ambitious for the future

and the new *Purpose* of...

- Making the best the use of all our resources
- Investing in infrastructure and the provision of services
- Commissioning for outcomes based on our communities' needs
- Promoting community wellbeing and resilience
- Influencing, coordinating and supporting other organisations that contribute to the life of Lincolnshire

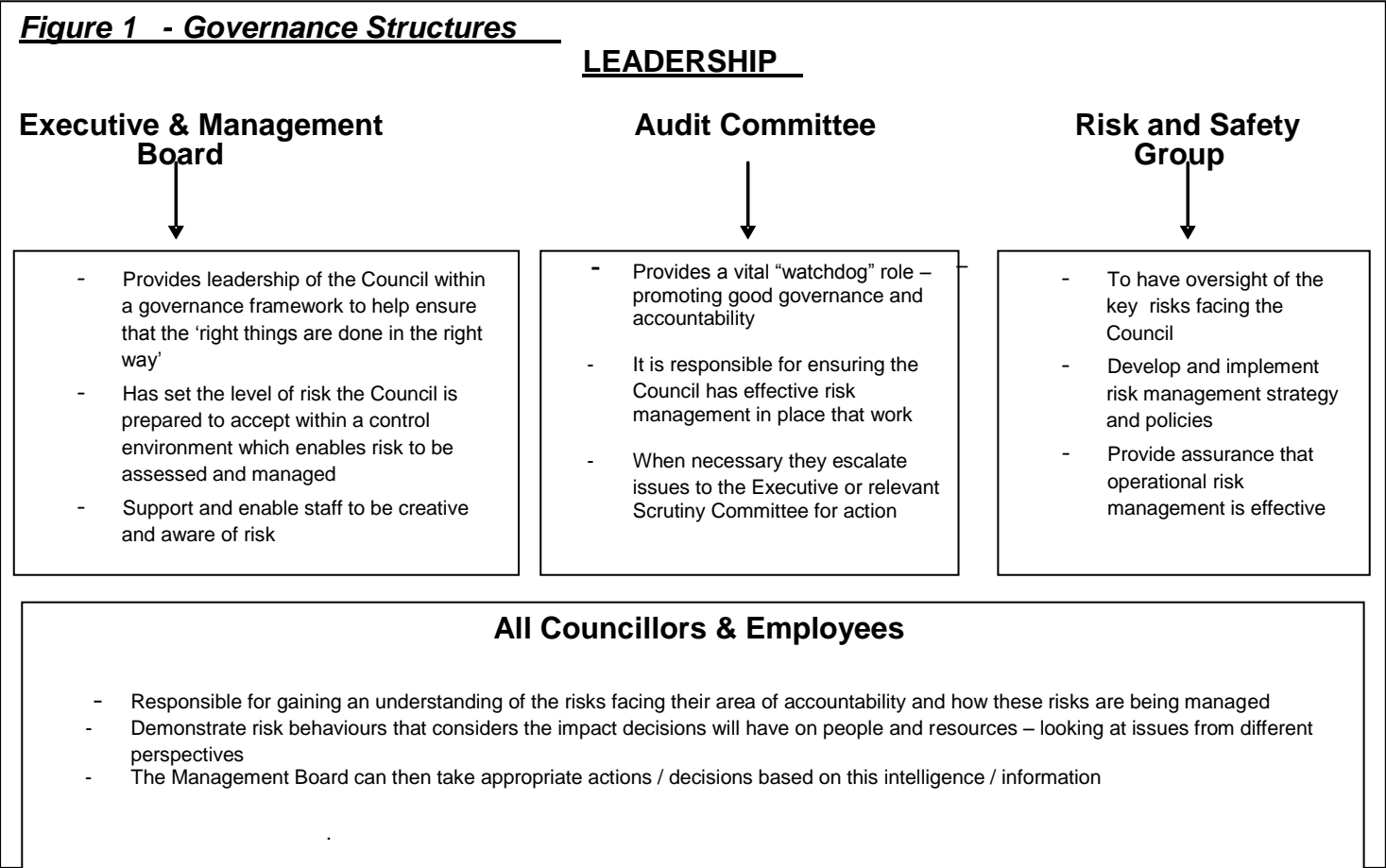
The Risk Management Strategy recognises that the next few years will present unprecedented challenges for the Council in delivering its services and business plan priorities. It seeks to encourage well measured risk taking where it is likely to lead to sustainable improvements in service delivery to the people of Lincolnshire.

Our Strategic Risk Management Priorities

- Strategic approach to risk management to make better informed decisions which is vital to successful transformational change.
- Setting the 'tone from the top' on the level of risk we are prepared to accept on our different service delivery activities and priorities. Understanding our 'Risk Appetite' and acknowledging that how we 'think about risk' will be different depending on the context of corporate impact and sensitivity.
- Acknowledging that even with good risk management and our best endeavours – things will go wrong. Where this happens we use the lessons learnt to try and prevent it from happening again.
- Developing leadership capacity and skills in having a clear understanding of the risks facing the Council in delivering our services and transformational change and how we manage these risks. Risk management should be integral to how we run Council business / services.
- Supporting a culture of well measured risk taking throughout the Councils business, including strategic, tactical and operational. This includes setting risk ownership and accountabilities and responding to risk in a balanced way – thinking about the level of risk, reward, impact and cost of control measures. Our approach to risk management is proportionate to the decision being made.
- Effective monitoring and Board intelligence on the key risks facing the Council.

- Good practice tools to support management of risks which is applied consistently throughout the Council

Achieving Success – Implementing our Strategic Risk Management Strategy



Our Risk Appetite statement is **Creative & Risk Aware** ie

*'The Council wishes to be **creative and open** to consider all potential delivery options with well measured risk taking whilst being **aware** of the impact of its key decisions'*

This means that our risk and assurance systems need to be working well so that we create an environment of 'no surprises'.

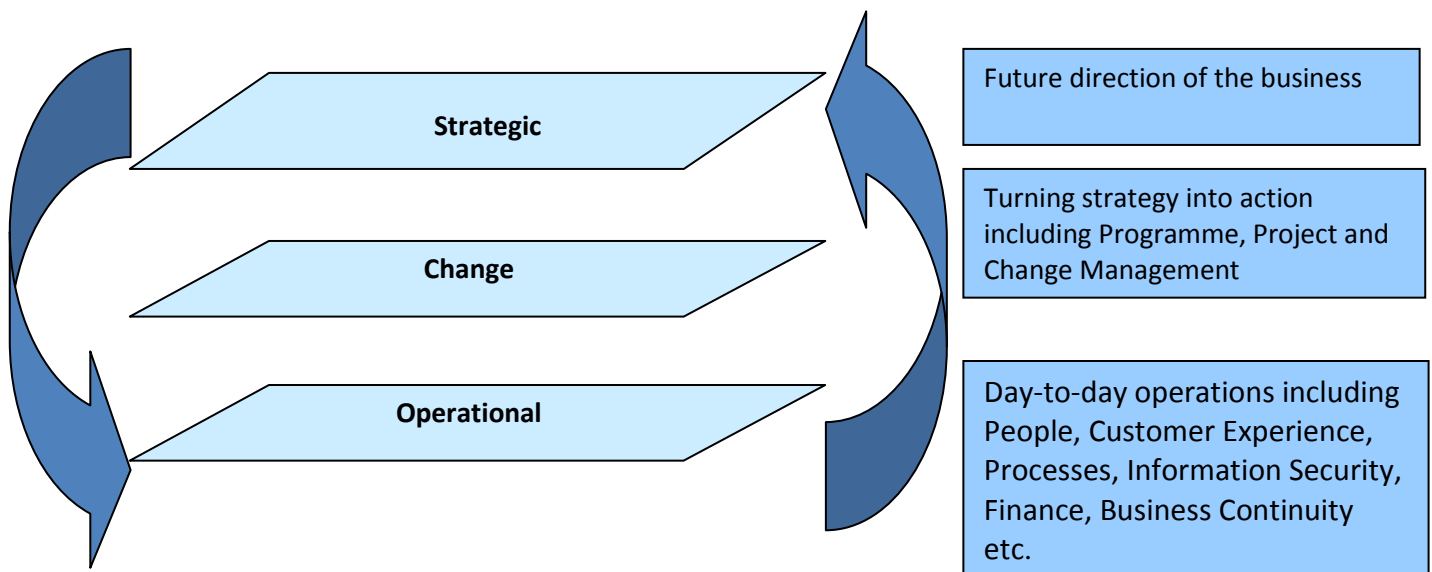
Whilst working within this overall context – 'tone from the top' – it is acknowledged that our risk appetite will vary depending on the nature of the service. For example the Council's appetite for risk taking on safeguarding adults and children is more cautious.

Where the Council undertakes operations or initiatives outside the agreed risk appetite this must be reported and monitored through the appropriate Executive Director. This helps promote informed decision making based on risk awareness.

Risk Management Guidance

Our approach to risk management is proportionate to the decision being made or the impact of changes to service delivery / strategies. Our risk management arrangements enable us to manage uncertainty in a systematic way at all levels of the Council's business – see Figure 2

Figure 2 - Risk Management Perspectives



A formal risk assessment – producing a risk register – is not required for everything we do.

Risk Registers are only required for:

- Strategic Risks.
- Key projects and programmes determined by our Business Plan and Project Management guidance.
- New service strategies that have a greater impact on people, finance and the Council.

Key decisions

All key decisions presented to the Executive must clearly show the key risks associated with the decision (recommendations), the potential impact and how these will be managed. This helps promote informed decision making, particularly in an environment of uncertainty and change.

Risk Management Support

Whilst effective risk management is integral to how we run our services and business we have a Strategic Risk Management Team that helps support Management and promotes good practice. The key roles of this team are:

- To co-ordinate and maintain the Strategic Risk Register for the Council, including identifying any emerging risks.
- To develop and co-ordinate the implementation of the Strategic Risk Management Strategy.
- Provide guidance on risk management.
- To support Councillors and Senior Managers to help them identify and manage risks facing the Council.
- Promote good risk management through training and awareness events / publications.
- Measuring / monitoring the successful implementation of the Strategic Risk Management Strategy priorities by demonstrating that the Council:
 - Has a culture which supports well thought through risk taking and innovation, with leadership who support, own and lead on risk management.
 - Enables Councillors, management and staff to make decisions that are in accordance with the risk appetite of the Council.
 - Learns when things go wrong and has had no major surprises that adversely affected the trust and confidence of the people of Lincolnshire in the services the Council provides.

Our Risk Management guidance sets out our requirements and gives people the tools to help them identify and manage risks effectively. Figure 3 shows the different elements of our Risk Management & Assurance Framework and we have developed some simple guidance and tools to help you – follow this link for more information (insert link – to be added when the toolkit completed). Another good practice tool to help you identify ‘people’ risks is our Equality Impact Analysis Toolkit – please follow this link for more information (insert link).

Figure 3 – Risk Management & Assurance Framework

