Strategic Risk Register
Version: 1.4
Reviewed: April - June 2016 (links to Commissioning Strategies January 2015)
Owner: Tony McArdle: Chief Executive

Commissioning Strategy - Our communities are safe and protected from harm

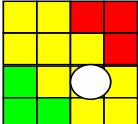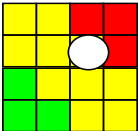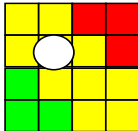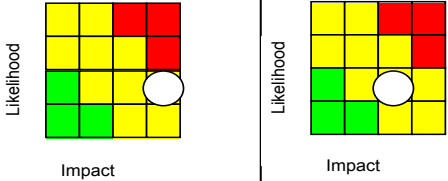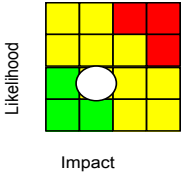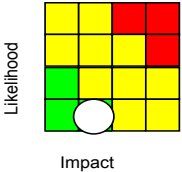| No of Risk	Risk Owner	Risk description	Risk Appetite (How much risk are we prepared to take & the total impact of risk we are prepared to accept)	Current risk score	Target risk score	Assurance Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)	Actions
1	Debbie Barnes	**Safeguarding** Safeguarding children	**Cautious** (**Regulatory standing & legal compliance** - recognised may need to change the ways we do things are done but will be tightly controlled)			Substantial	Improving	**Existing Controls** ● 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) ● Quality Team Manager Audits ● Management & investigation of complaints at local level ● Children's Safeguarding Board ● Performance Framework for Quality Assurance mechanisms ● Practitioner Supervision & Appraisal ● Implementation of recommendations from serious case review ● Member scrutiny of Social Care ● Ofsted Inspection ● Signs of Safety ● Adoption reform ● Partners in practice
2	Glen Garrod	**Safeguarding** Safeguarding adults	**Cautious** (**Regulatory standing & legal compliance** - recognised may need to change the ways we do things are done but will be tightly controlled)			Limited	Improving	**Existing controls** ● Multiagency Safeguarding Policy & Local Procedures in place ● Adults Strategic Safeguarding Board ● Virtual integration between policy, practice & strategy ● CQC Information Sharing Meetings ● Delivery of Safeguarding training to providers as part of 'Supporting Proprietors - Leadership & Management' programme ● Appropriate checks / vetting of staff in 'regulated activity posts' ● Investment in staff development agreed with Adult Safeguarding Board (ASB) of £250,000 for 2 years (each year) ● Improved performance monitoring to Adult Safeguarding Board (ASB) under development for regular monitoring ● Public Protection Board ● New quality assurance unit ● Lead professional & elite professionals ● Serious case reviews ● Senior Business Manager appointed to assist Safeguarding Manager and take lead on implementing Peer Challenge Action Plan ● Performance Score Card monitored at department level reported to LASAB ● Regular Case file Audits system implemented ● Domestic Homicide review action plan completed March 2015 ● Implementation of Action plan arising from Peer Challenge completed January 2015 ● Internal Audit on Safeguarding completed with Substantial assurance ● New resource for LSAP in an analyst **New / Developing controls** ● Develop & implement suitable assurance framework for commissioned services (that considers safeguarding) ● Develop & implement suitable assurance framework for Personal Budgets (that considers safeguarding) ● Peer review in June 2016 - making safeguarding personal

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3	Pete Moore	**Resilience (Business Continuity)** Capacity and resilience to respond to, and recover from, wider area and prolonged emergencies and business disruption (e.g. coastal flooding / pandemic flu) impacting on public safety, continuity of critical functions and normal service delivery.	**Hungry** (**Projects & major change** - need to be innovative and take higher risks for greater reward - higher levels of devolved authority)	**Open & Aware** (**Partnerships** - Recognised that we work differently with different partners)	Likelihood / Impact	Likelihood / Impact	Limited	Improving	**Existing controls** ● Investing in protection and vulnerability reduction (e.g. Boston Barrier) - this refers to the flooding part of the risk ● Commissioning through effective partnership working (e.g. LRF, LHRP and FR & DM) ● Flood risk drainage management strategy - this refers to the flooding part of the risk **New / Developing Control** ● Implementation of Senior Management Command arrangements ● Retaining sufficient capacity to meet our duties (and fulfil our local authority / FRS roles and responsibilities) as a category 1 responder (under the Civil Contingencies Act) ● Maintaining organisational / operational competencies (training & exercising) in key roles and functions of command outside our control, multi-agency co-ordination and business recover ● Reflect and review impacts of organisational change ● Training and exercise of people in roles of command, business recovery and multi-agency co-ordination including Cygnus ● Ensure plans are in place and audited ● Reviewing our preparedness in the event of an emergency, working with partners - looking at joint arrangements with the districts for the LRF and looking at a deal about mutual aid around the region. ● Review outstanding issues from recent audit report

Commissioning Strategy - The health and wellbeing of the population is improved, people remain independent for longer and feel responsible and in control of their own future

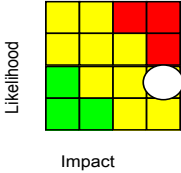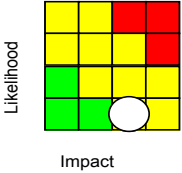| No of Risk	Risk Owner	Risk description	Risk Appetite (How much risk are we prepared to take & the total impact of risk we are prepared to accept)	Current risk score	Target risk score	Assurance Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)	Actions
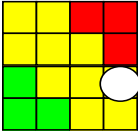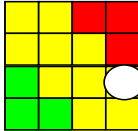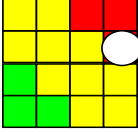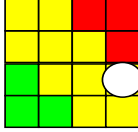
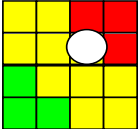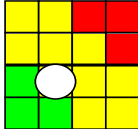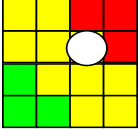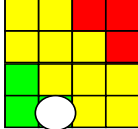| No of Risk	Risk Owner	Risk description	Risk Appetite (How much risk are we prepared to take & the total impact of risk we are prepared to accept)	Current risk score	Target risk score	Assurance Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)	Actions
4	Glen Garrod	**Market Supply AC** Adequacy of market supply to live within budget	**Cautious** (**Regulatory standing & legal compliance** - recognised may need to change the ways we do things are done but will be tightly controlled)			Limited	Improving	**Existing controls** ● Continued improved relationships with providers ● Community support framework ● Targeted market stimulation - geographic or service based on micro-level according to need and based on good intelligence. ● Capital strategy in place for next 3 years with funding level and team created ● Additional resources in Procurement Lincs to improve contract management ● Homecare rates established and procurement approach agreed ● Funding for residential care secure ● Contract register in place ● Additional investment in community based services with NHS developed ● Additional funding agreed for 3 years with Executive **New / Developing controls** ● Develop further diversification of the market, i.e. multiple providers being able to offer multiple services ● Develop right mix of skills to become a commissioner of services ● Extra care schemes should begin to be progressed by end of 16/17

Commissioning Strategy - Businesses are supported to grow and want to invest in the county; people have the skills and training to access local jobs supported by the right infrastructure and environment

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5	Richard Wills	**Projects** Ability to deliver our major designated projects	**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**)**			Substantial	Static	● For the purposes of this strategic risk, we have utilised a standard template to provide us with assurances that the key projects to the organisation have adequate risk management in place. ● A project risk register is maintained and over the coming months, we shall be looking into the specific projects and what the key risks are for each project.

Commissioning Strategy - We effectively target our resources so that individuals and communities experience the desired benefits and results

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6	Pete Moore	**Budget - LCC** 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	**Existing controls** ● Sound process on trying to protect where funding is going supported by Medium Term Financial Strategy ● Efficiency and Savings Agenda ● Good financial management with monitoring arrangements in place ● Accountability framework ● Work to meet future budget targets through Fundamental Budget Review and Financial Challenge work. ● Council Priority Activities agreed & delivery of major projects managed / monitored. ● Close working with DC's on funding arrangements ● Medium term financial plan for next 3 years updated as part of budget process ● Use of reserves to balance the budget in 2015/16 **New / Developing controls** ● Use of reserves to balance the budget in 2016/17 ● Building flexibility to deal with in-year changes ● Capital Programme/Asset Sales Review ● Commissioning for Lincolnshire Programme ● Further medium term budget planning being undertaken in 2016 and for year efficiency plan to be agreed by Council in September 2016.

7	Pete Moore	**Governance** Maintenance of effective governance arrangements including 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. 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)			Substantial	Improving	**Existing controls** ● Local Code of Conduct based on LGA been adopted ● Governance Arrangements take account of CIPFA guidance ● Progressing the review of scrutiny arrangements. ● Implementation of Combined Assurance Model ● Annual Governance Report from Monitoring Officer, Common Code of Conduct and Register of Interests ● Scheme of delegation ● Learning outcome from the libraries judicial review ● Maintain opportunistic approach as to up date constitution **New / Developing controls** ● Governance Framework needs modifying to adapt to changing organisational environment - less prescriptive in style, with balancing of risk & accountability - needs a formal plan. ● Monitoring and implementation of the Members code of conduct
8	Debbie Barnes	**Recruitment / Staffing** Ability to recruit & retain staff in high risk areas	**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)			Limited	Improving	**Existing controls** ● 'Pro-active work on developing resilient use of mindful employer charter and the Health and the Wellbeing plan' ● Training funded by I Count on increasing resilience through change ● Effective management oversight & appraisal systems in place ● 'CX Briefings and newsletters support internal staff engagement at various levels ● Audits & action plans in areas of sickness absence hotspots ● Recruitment and retention action plan for qualified social workers in Children's Services, procurement, legal, engineers, planners and teachers ● Additional temporary resources to promote employment opportunities for young people in the Council and support development of future workforce including apprentices. ● Employee feedback through the development of staff surveys to reinforce the Council's commitment to be a good employer (staff surveys in November 2015) ● A central source of internal and external market data which can be used by specific managers to source resources effectively to meet their requirements (for hard to recruit and retain areas) **New / Developing controls** ● Updating job evaluation scheme to be more fit for purpose ● Strategic workforce project plan ● Organisational development practice applied to all key change related projects ● Re procurement of Agency contract to meet diverse needs of Council, ensuring value for money ● Implement the Council's workforce planning processes to improve and support retention of key skills ● A central source of internal and external market data which can be used by specific managers to source resources effectively and efficiently to meet their requirements ● Pilot use of the SHL system (OPQ/MQ) with the hard to recruit and hard to retain posts to ascertain what drives tenure and performance in these roles in order to form a recruitment strategy. ● Evaluate the use of current sourcing channels to increase the use of social media and other platforms like 'Linked In'. ● Strategic review of employee benefits ● Review of key policies employment policies relating to recruitment & retention ● Reviewing Manpower contract ● Reviewing flexible retirement policy

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9	Judith Hetherington-Smith	**Strategic contracts** Ensuring contracts are fit for purpose in the Commissioning Agenda	**Open & Aware** (**Finance & money** - We wish to reduce cost and improve performance by well measured risk taking incorporated into our contracts which accurately and comprehensively record the commercial deal struck. We are prepared to fund capital expenditure where it makes sense to do so.	**Open & aware/ cautious** (**Partnerships** - Recognised that we work differently with different contractors / partners**)**	Likelihood / Impact	Likelihood / Impact	Limited	Improving	**Existing controls** ● Business cases ● Options appraisals ● Access to commercial team advice and support ● Access to legal advice and support ● Use of industry standard contracts e.g. NEC ● Service area internal quality assurance processes ● Project decision making and governance including accountable decision maker ● CPPR ● Contract regulations **New / Developing controls** ● Developing library of contract precedents ● Developing Standard Operating Procedures ● Commercial awareness training ● Market analysis tool
10	Judith Hetherington-Smith and Pete Moore	**Governance** Effective implementation of the Agresso system to ensure good governance in respect of key Financial and HR systems.	**Open & Aware** (**Reputation & organisational/service user confidence** - This is a time limited risk that needs managing to ensure effective implementation and sound governance systems)		Likelihood / Impact	Likelihood / Impact	Limited	Improving	**Existing controls** ● Agresso Board to identify problems, solutions and monitor progress. ● Serco and Unit 4 provision of additional resources for programme management problem solving and customer liaison. ● Recovery Group including VFM & Audit Committee inputs ● Updating of programme & resources plan ● Council provision of additional staffing resources to respond & resolve problems. ● Contract Management. **New/Developing controls** ● Plans for upgrades of system

11	Judith Hetherington-Smith	**Cyber Security**
		A broad spectrum of internal and external threats, which seek to negatively impact the confidentiality, integrity or availability of an information system and/or the information residing therein.
			Cautious	Likelihood / Impact	Likelihood / Impact	Limited	Improving	**Existing controls**
								● The scope and maturity of effective controls designed to mitigate the risk of a cyber-attack are currently unclear. Therefore the level of risk mitigation is also unclear.
								New/Developing controls
								● A project is underway which is taking a phased approach to the delivery of critical controls designed to reduce the Council's exposure to common types of cyber attack and to provide a sound foundation of basic cyber hygiene measures. the controls, which are extracted from the International standard ISO/IEC 27001:13 - Security Techniques - Information Security Management Systems are:
								    ● Asset Management
								    ● User Access Management
								    ● Operational Procedures and responsibilities
								    ● Protection from Malware
								    ● Technical Vulnerability Management
								    ● Network Security Management
								    ● Supplier Relationships
								    ● Incident Management
								    ● Monitoring