

Strategic Risk Register

Version: 1.1

Reviewed: April - June 2014 (links to Commissioning Strategies April 2014)

Owner: Tony McArdle: Chief Executive

Commissioning Strategy - Protecting & Sustaining the environment

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,	Actions	Notes / Comments
1	Richard Wills	Resilience (Business Continuity) Capacity and resilience to responding 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)					<ul style="list-style-type: none"> This action for this risk need splitting depending on business disruption e.g. Coastal flooding will have different mitigating actions to pandemic flu. This is ongoing work throughout the coming months The expectable level of risk & current risk exposure is being determined 	

Commissioning Strategy - Children are safe & healthy

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2	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	Static	<ul style="list-style-type: none"> Single Agency Framework inc action plan monitored by new Ofsted Readiness Group - launching in November 2013. 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 Childrens Safeguarding Board Performance Framework for Quality Assurance mechanisms Practitioner Supervision & Appraisal Online approach to Vetting and barring of staff in 'regulated activity' posts with Qtrly HR Perf monitoring to DMT Independent analysis of systems & processes being undertaken by Impower (one off exercise) Implementation of recommendations from serious case review Member scrutiny of Social Care 	Families working together programme to turn around the lives of families in crisis - Phase 1 completed with the expansion in line with government guidance December 14.

Commissioning Strategy - Safeguarding Adults

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3	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 <ul style="list-style-type: none"> Multiagency Safeguarding Policy & local Procedures 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 Leap professional & elite professionals Serious case reviews New / Developing controls <ul style="list-style-type: none"> Develop & implement suitable assurance framework for commissioned services (that considers safeguarding) Develop & implement suitable assurance framework for Personal Budgets (that considers safeguarding)
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Commissioning Strategy - Adult Frailty, Long term Conditions and physical Disability

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)		Substantial	Improving	Existing controls <ul style="list-style-type: none"> 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 - prolonged transfer Homecare rates being described and new investment assured Funding for residential care secure Contract register in place Additional investment in community based services with NHS developed New / Developing controls <ul style="list-style-type: none"> 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
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Commissioning Strategy - How do we do our business

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5	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 <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 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 Further fundamental review of service priorities during 2013/14 Medium term financial plan for next 2 years updated as part of budget process Use of reserves to balance the budget in 2013/14 New / Developing controls <ul style="list-style-type: none"> Use of reserves to balance the budget in 2014/15 Fundamental budget review Building flexibility to deal with in-year changes Planning longer term for next CSR and trying to plan for period of 	

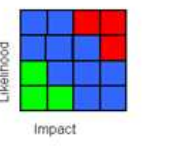
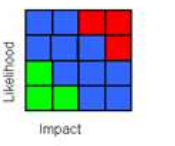
6	Pete Moore	Governance Maintenance of effective governance arrangements including the way we implement transformational change and decisions affecting service delivery	Hungry (Reputation & Public confidence - Comfortable with taking decisions that are likely to bring scrutiny of the Council but where 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	Static	Existing controls <ul style="list-style-type: none"> Local Code of Conduct based on LGA been adopted Review of Governance Arrangements in light of CIPFA Implementation of new Combined Assurance Model New / Developing controls <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. Review standards arrangements one year on for member standards arrangements, Common Code of Conduct and Register of Interests 	<ul style="list-style-type: none"> We need to revisit the level of risk we are prepared to take on delivery services differently - understanding political risk v optimum risk as currently specified
7	Pete Moore	Commissioning Commissioning for Lincolnshire doesn't deliver the priorities and benefits	Open & Aware					<ul style="list-style-type: none"> Further work required to understand the risk assurances against each commissioning strategy. It is too early in the process as the commissioning strategies and fundamental budget review are in progress Revisit it by December 2014 	

Commissioning Strategy - Enablers and support to the Council's outcomes

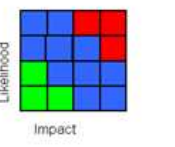
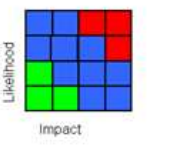
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8	Debbie Barnes	Recruitment / Staffing Requirement to have the right people in the right place with the right skills at the right time a) Reshaping our workforce b) Capacity to deliver our core strategic objectives e.g. transformational change, recruitment & retention of specialist skills	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)					Existing controls (A) <ul style="list-style-type: none"> People strategy Global challenge Pro active health & safety on stress management I count training around resilience Existing controls (B) <ul style="list-style-type: none"> Universal Comms group established New / Developing controls (A) <ul style="list-style-type: none"> Modernising pay & reward to performance Updating job evaluation Senior management restructure Organisational structure and organisational model New / Developing controls (B) <ul style="list-style-type: none"> Project management standard including change management 		
9	Judith Hetherington-Smith	Strategic contracts Ensuring contracts are fit for purpose in the Commissioning Agenda	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)	Open & aware/ cautious (Partnerships - Recognised that we work differently with different contractors / partners)					<ul style="list-style-type: none"> Further work is required to identify key contracts and obtain appropriate assurances around governance, performance & delivery e.g. FDSS, Highways Alliance, Property 	

Commissioning Strategy - Sustaining and Developing prosperity through infrastructure

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10	Richard Wills	Projects Monitoring of designated management 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)					<ul style="list-style-type: none"> This risk is a new risk and therefore, we will be continuing with work over the coming months to gain an understanding of the projects register and what is in place for the most significant ones. 	
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Commissioning Strategy - Sustaining and Developing prosperity through infrastructure

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11	Tony Hill	Integration of Health & Social Care Services Maintaining a viable, safe & sustainable health infrastructure	Cautious (Willing to take risks but prefer to take the 'safe delivery option' - minimising the exposure with tight corporate controls over change)					<ul style="list-style-type: none"> This risk is a new risk and due to the nature of the risk, we need to continue to work with the programme office to identify suitable actions to mitigate the risk. This will be completed over the coming months 	