

Strategic Risk Register

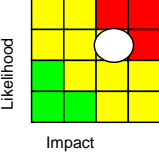
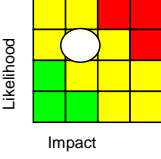
Version: 1.2

Reviewed: February - March 2015 (links to Commissioning Strategies January 2015)

Owner: Tony McArdle: Chief Executive

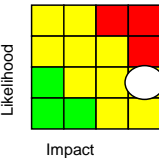
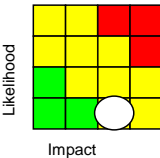
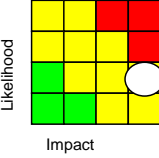
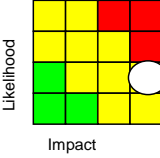
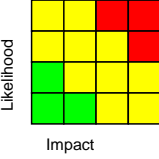
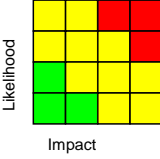
Commissioning Strategy - Our communities are safe and protected from harm

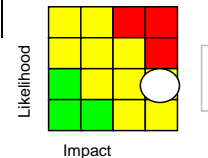
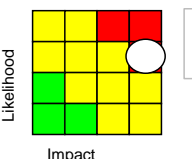
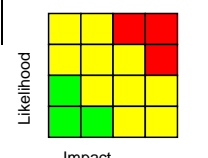
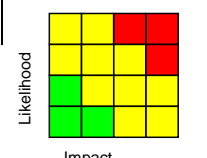
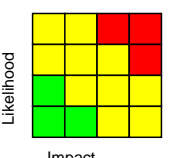
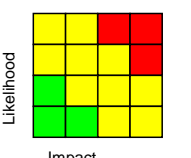
No of Risk	Risk Owner	Risk description	Risk Appetite (How much risk are we prepared to take & the total impact of risk we are prepared to accept)	Current risk score	Target risk score	Assurance Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)	Actions
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)	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Substantial	Improving	Existing Controls <ul style="list-style-type: none"> • 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 • Implementation of recommendations from serious case review • Member scrutiny of Social Care • Ofsted Inspection • Signs of Safety • Adoption reform
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)	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Substantial	Improving	Existing controls <ul style="list-style-type: none"> • Multiagency Safeguarding Policy & Local Procedures in place • Adults Strategic Safeguarding Board • Virtual intergration 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 • 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 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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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)			Substantial	Improving	<p>Existing controls</p> <ul style="list-style-type: none"> 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 <p>New / Developing Control</p> <ul style="list-style-type: none"> 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.

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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 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 <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
5	Tony Hill/ Glen Garrod	Integration of Health & Social Care Services and the Better Care Fund Maintaining a viable, safe & sustainable health and social care infrastructure	Cautious (Willing to take risks but prefer to take the 'safe delivery option' - minimising the exposure with tight corporate controls over change)			Limited	Improving	Existing controls <ul style="list-style-type: none"> Maintenance of a shared programme risk register highlighting key strategic programme risks Trust Development Agency on board (TDA) Joint Commissioning infrastructures established and agreed with Executive and Health & Wellbeing Board Agreed resourcing for LHAC in 2015/16 New / Developing controls <ul style="list-style-type: none"> Considering the joint commissioning process to include the wider scope To decipher & identify where the funding comes from (discussions with CCG's & LCC commissioners) Identifying risk sharing and return on investment across the economy Re-profiling the programme to include the widening scope to improve controls Review of the whole systems governance

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6	Richard Wills	Projects Monitoring of designated major 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. Include Learning outcome of the libraires judicial review as a new & developing control

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7	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	<p>Existing controls</p> <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 • Medium term financial plan for next 2 years updated as part of budget process • Use of reserves to balance the budget in 2013/14 • Fundamental budget review <p>New / Developing controls</p> <ul style="list-style-type: none"> • Use of reserves to balance the budget in 2014/15 • Building flexibility to deal with in-year changes • Senior Management Review • Commissioning for Lincolnshire Programme
8	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	<p>Existing controls</p> <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 • Reviewed standards arrangements one year on for member standards arrangements, Common Code of Conduct and Register of Interests • Scheme of delegation completed <p>New / Developing controls</p> <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. • Monitoring and implementation of the Members code of conduct • Learning outcome from the libraries judicial review
9	Judith Herrington-Smith	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

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10	Debbie Barnes	<p>Recruitment / Staffing Requirement to have the right people in the right place with the right skills at the right time:</p> <p>A) Reshaping our workforce</p> <p>B) Capacity to deliver our core strategic objectives e.g. transformational change, recruitment & retention of specialist skills</p>	<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>A</p> <p>Likelihood</p>  <p>B</p>	<p>Likelihood</p>  <p>A</p> <p>Likelihood</p>  <p>B</p>	Substantial	Static	<p>Existing controls (A)</p> <ul style="list-style-type: none"> Pro active health & safety on stress management Training funded by I-Count on increasing resilience throughout change Senior management structure in place Established fixed term contract post of programme co-ordinator workforce change to co-ordinate workforce change across the council Published organisational design toolkit for managers to support restructures of services and teams Universal Comms group established Project management standard to include 'change management practice' - to be applied in practice to all projects <p>Existing controls (B)</p> <ul style="list-style-type: none"> Audits and action plans in areas of sickness absence hotspots Recruitment and retention action plan for qualified social workers in Childrens Services Additional temporary resources to promote employment opportunities for young people in the Council and support development of future workforce <p>New / Developing controls (A)</p> <ul style="list-style-type: none"> Organisational structure and operating model in alignment with Commissioning model 2015/16 Updating job evaluation scheme to be more fit for future Development of projects within new 2015 People Strategy which maximise the organisational strength, capacity, resilience and wellbeing to deliver the Council's strategic objectives through people. Employee feedback through the development of staff surveys to reinforce the Council's commitment to be a good employer <p>New / Developing controls (B)</p> <ul style="list-style-type: none"> Project management standard to include "Change management practice" - to be applied in practice to all projects Reinforce the Council's commitment to be a good employer through improved employee feedback from staff surveys Implementing the councils talent management processes to improve and support the retention of key skills 	
11	Judith Hetherington-Smith	<p>Strategic contracts Ensuring contracts are fit for purpose in the Commissioning Agenda</p>	<p>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)</p>	<p>Open & aware/ cautious</p> <p>(Partnerships - Recognised that we work differently with different contractors / partners)</p>	<p>Likelihood</p>  <p>Impact</p>	<p>Likelihood</p>  <p>Impact</p>			