

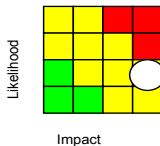
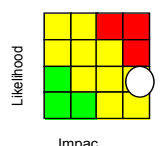
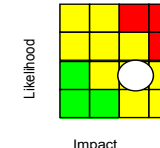
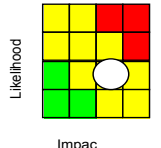
Strategic Risk Register

Version: 1.5

Reviewed: November 2016 to January 2017 (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 <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 • 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 <ul style="list-style-type: none"> • 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 • Regional Peer review in June 2016 - making safeguarding personal 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) • Successful implementation of Mosaic

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
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)			Limited	Improving	Existing controls <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 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 Training and exercise of people in roles of command, business recovery and multi-agency co-ordination including Cygnus 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. New / Developing Control <ul style="list-style-type: none"> Redesigning 3 year programme - reflect and review impacts of organisational change Ensure plans are in place and audited Review outstanding issues from recent audit report New Comms plan - in progress

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

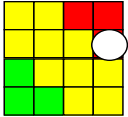
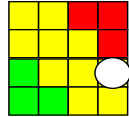
No of Risk	Risk Owner	Risk description	Risk Appetite (How much risk are we prepared to take & the total impact of risk we are prepared to accept)	Current risk score	Target risk score	Assurance Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)	Actions
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 <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 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

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
5	Richard Wills	Projects Ability to deliver our programme of 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)					<ul style="list-style-type: none"> For the purposes of this risk, at this time, it is felt that we are not in a position to provide an overall assurance or risk score on this strategic risk due to the complexity of the interactions of each project, however, once this piece of work is completed, we shall be able to report back to the committee on our findings.

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

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
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	<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 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 Further medium term budget planning being undertaken in 2016 and four year efficiency plan agreed by Council in September 2016 and approved by DCLG in November 2016. Use of reserves to balance the budget in 2015/16 Reviewed Financial Strategy Quality impact assessment on Council Tax increase <p>New / Developing controls</p> <ul style="list-style-type: none"> Use of reserves to balance the budget in 16/17 & 17/18 Building flexibility to deal with in-year changes Capital Programme/Asset Sales Review Closed sessions of scrutiny workshops in the Autumn in looking at savings options for the next year. Use of capital receipts to part fund revenue budget
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	<p>Existing controls</p> <ul style="list-style-type: none"> Local Code of Conduct based on LGA been adopted Governance Arrangements take account of CIPFA guidance Progressed the review of scrutiny arrangements and reported it to full Council - December 2016. 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 <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

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)	Likelihood  Impact	Likelihood  Impact	Limited	Improving	Existing controls <ul style="list-style-type: none"> Pro-active work to embed the 'Mindful Employer Charter' being one of the key activities/outcomes of the Health and the Wellbeing Plan Information provided for managers and staff on increasing resilience through change as well as Organisational development practice applied to all key change related projects Employee feedback through the development of staff surveys to reinforce the Council's commitment to be a good employer (staff surveys in November 2015) Audits & action plans in areas of sickness absence hotspots Recruitment and retention action plans for addressing hard to recruit and retain staff groups Additional temporary resources to promote employment opportunities for young people in the Council and support development of future workforce including apprentices. CX briefings and newsletters support internal staff engagement 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) Use of current sourcing channels to increase the use of social media and other platforms like 'linked in' Use of SHL system (OPQ/MQ) with hard to recruit and hard to retain posts to evaluate strengths required to perform well in roles Use of SHL system to ascertain what drives tenure and performance in hard to recruit and hard to retain posts in order to determine appropriate recruitment strategy New / Developing controls <ul style="list-style-type: none"> As part of the Health and the wellbeing strategy, the Council will review its approach for raising awareness & developing skills in managing mental health issues and building resilience, due to I-Count funding having ceased Audits and action plans. During 2017-18, randomly selected audits will be undertaken by the Serco Absence Management Team for 10% of sickness absence cases in 2016-17. In addition to audits in sickness hot spot areas. Communication plan to reinforce managers that they should be carrying out appraisals & recording them Full recruitment service review through Serco contract Employment & apprentice opportunities currently offered to young people aged 16-24 within LCC - apprenticeship ensuring we invest in priority areas to address key shortage areas through 'grow your own' schemes Project in place to ensure the delivery of the governance apprenticeship reforms so that the levy can be maximised for the benefit of the Council including; development of the workforce to address key shortage areas through 'grow your own' schemes; and to offer employment and apprenticeship opportunities to young people aged 16-24 within the Council Re procurement of Agency contract to meet diverse needs in particular to address areas of hard to recruit & retain groups Evaluate the use of other social media for recruitment Reviewing of key processes & employment policies relating to recruitment & retention Council Workforce Plan 2017 & beyond. Options paper to be taken to CMB in January 2017. Regular updates to VFM to show linkages between workforce priorities & reduction in worker spend Strategic review of employee benefits
---	---------------	---	--	--	---	---------	-----------	--

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
------------	------------	------------------	---	--------------------	-------------------	--	---	---------

9	Sophie Reeve / Tony McArdle	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)			Limited	Improving	Existing controls <ul style="list-style-type: none"> • 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 <ul style="list-style-type: none"> • Developing library of contract precedents • Developing Standard Operating Procedures • Commercial awareness training • Market analysis tool
10	Pete Moore / Fiona Thompson (HR element)	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)				Limited	Improving	Existing controls <ul style="list-style-type: none"> • 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 <ul style="list-style-type: none"> • Plans for upgrades of system
11	Richard Wills	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				Limited	Improving	Existing controls <ul style="list-style-type: none"> • Serco (Lincoln) and LCC have achieved formal independent certification to ISO 27001:13, an international standard and describes best practice for an information security management system (ISMS). The scope of certification includes IMT services to a cyber-attack. While we will never be immune from cyber-attacks, successfully implementing ISO 27001:13 is evidence that we have achieved a solid base on which to continually improve cyber-attack is better understood. New/Developing controls <ul style="list-style-type: none"> • The lack of maturity of a number of key controls, alongside gaps identified as part of the ISMS implementation, does not yet give us enough confidence to reduce the current risk score, therefore effort will continue to focus on: <ul style="list-style-type: none"> • Asset Management • User Access Management • Operational Procedures and responsibilities • Protection from Malware • Technical Vulnerability Management • Network Security Management • Supplier Relationships • Incident Management • Monitoring

This page is intentionally left blank