



Progress Report

March 2021

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Appendices

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Appendix 2 – Risk and Safety Governance Action Plan February 2021

Appendix 3 – Strategic Risk Register – February 2021

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Introduction

The purpose of this report is to provide an update on:

- The activities being undertaken to support the Council in developing a culture of being 'Creative & Aware of Risk'¹ in line with the agreed risk appetite.
- The key strategic and operational risks facing the Council;

It is also to provide assurance on the effectiveness of the Council's risk management arrangements.

Key Messages

Covid19 – On-going Implications for Risk Management

The unprecedented events of Covid19 continues into 2021 and as a result, we continue to report to Corporate Leadership Team (CLT) on a quarterly basis the key red risks and issues arising from the crisis.

The latest report in February identified 22 high risks and 15 high issues with most of them either holding static or showing an improving status. Most of the controls were also holding static or showing an improving status.

The main category of risk continues to be within the area of People with the main issue categories being Technology and Economic. See appendix 1 for a breakdown of the risks, issues and status by Directorate.

Progress on Governance review - See Appendix 2

Progress on the action plan arising from the Governance review that was undertaken in Autumn 2019 has continued but has been affected by the change in priorities arising from Covid19.

The current Governance review report can be found in Appendix 2 with the updates highlighted. Key actions completed / implemented since the last report in September 2020 are as follows;

- ✓ Work on risk appetite completed with Resources Leadership Team (RLT) giving refined risk appetite statements. This work will be progressed with the Corporate Leadership Team (CLT) in 2021.
- ✓ Continue to report quarterly to CLT on risk management including high risks and issues.
- ✓ All Directorates have a Directorate Risk & Safety Group (DRSG) or equivalent in place and have meetings that report into the Corporate Risk & Safety Steering Group (CRSSG).
- ✓ A highlight report is produced from the DRSG to the CRSSG with key messages on both Risk Management & Health & Safety. This happens on a quarterly basis.

1. The Council wishes to be creative and open to considering all potential delivery options, with well measured risk taking whilst being aware of the impact of its key decisions

Key Messages continued..

- ✓ The '10' questions snap survey has been completed by 42 risk champions and representatives on the DRSG and CRSSG. Work is in progress to produce a report noting the findings.
- ✓ Work is on-going with the directorates and services to review and challenge the data that they produce. This is completed via the highlight reports. We are also introducing a risk management software system called Sharp Cloud which will enable better intelligence going forward on risks. We have started to populate this system with the Resources directorate and their risk registers.
- ✓ Continuous involvement with the Transformation programme and projects and better sight of risk management.

The remaining priorities and essential actions continue to be worked through and these will be monitored through the CRSSG.

Strategic risk register – See Appendix 3

Overall the strategic risks continue to be managed pro-actively. We have reviewed the effectiveness of the control actions – focussing on those that can be measured such as KPIs, external sources etc. This will help us measure their impact in managing the risk.

There is a **high** level of awareness of current and emerging risks that could impact services.

6 risks

**SUBSTANTIAL
ASSURANCE**

Safeguarding Adults (2)
Resilience (Business Continuity) (3)
Key projects & programmes (5)
Budget – LCC (6)
Recruitment / Staffing (7)
IT infrastructure (10)

Resilience (Business continuity) has increased to **high amber** due to the risk of concurrent incidents. It does remain **substantial assurance** due to the work that is being done to mitigate the risk.

4 risks

**LIMITED
ASSURANCE**

Safeguarding Children (1)
Market Supply – Adult Care (4)
Strategic Contracts (8)
Cyber Security (9)

Safeguarding Children remains a **high risk** and **limited assurance** due to the on-going impacts of Covid. This will be reduced, once Covid restrictions are lessened.

Cyber Security remains a **high risk** and is still **limited assurance** despite monitoring controls. This is on-going and as an authority, we are always going to be exposed to cyber threats.

Our Operational Risks

As previously mentioned earlier in the report, we are reporting on a regular basis to CLT on the key high risks and issues for services within the Council. As part of this work, we continue to work with Directorate Risk & Safety Groups in identifying the top risks for each directorate.

To support reporting of risks and issues more dynamically, we have started to populate the risk management system, Sharp Cloud. This will enable us to have even richer data around our risks and controls and will improve the risk intelligence.

Looking Forward

It has been a challenging 12 months with lots of changes including more robust and regular reporting through CLT on operational risks, home working as a norm and learning to access and use new IT systems such as Microsoft Teams.

The risk management profile has been brought to the forefront and all services have engaged well in the revised reporting arrangements.

Over the coming months, we aim to:

- Work with the services and look at any lessons learnt from Covid19
- Continue to report regularly to CLT for as long as is required with the red risks & issues
- Capitalise on the work that we have started in ensuring that every service within the Council, has either a risk register or is aware of their operational risks and report to risk management on a regular basis
- Continue to populate and use the new risk management software system Sharp Cloud to improve reporting.
- Continue to work through any outstanding actions from the Governance review.
- Continue to horizon scan through relevant sources both internally and externally.

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