

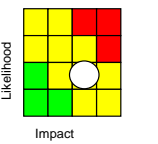
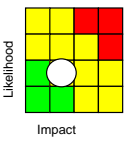
Strategic Risk Register

Version: 1.7

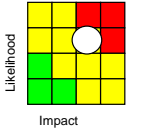
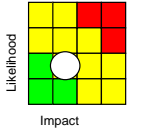
Reviewed: Feb 2021 links to Corporate Strategies (2020)

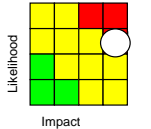
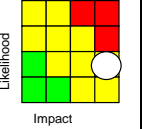
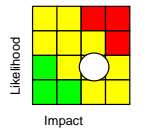
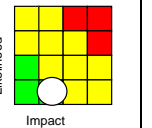
Owner: Chief Executive

No of Risk	Risk Owner	Corporate Strategy	Risk description	Current risk score	Target risk score	Assurance Status (Full, Substantial, Limited, No)	Direction of Travel (Improving, Static, Declining)	Actions
1	Janice Spencer	Enable everyone to enjoy life to the full	Safeguarding Safeguarding children			Limited	Static	<p>Existing Controls</p> <ul style="list-style-type: none"> Annual review of health Assessments reaching 90% & over Registration with GPs reaching 95% & over Registration with dentists reaching 95% & over Immunisations up to date reaching 95% & over No of children on child protection plan is below all England & stat neighbours <p>New and Developing Controls</p>
2	Glen Garrod	Provide good value Council services	Safeguarding Safeguarding adults			Substantial	Improving	<p>Existing controls</p> <ul style="list-style-type: none"> Prevention Strategy agreed and being implemented LSAB risk register in place Multiagency Safeguarding Policy & local procedures in place Rolling programme of training for staff development in place Quality Performance Unit <p>New / Developing controls</p> <ul style="list-style-type: none"> Number of safeguarding cases supported by an advocate Concluded enquiries Quality practice audits Actions arising from the "Strategic Plan" Lincolnshire Resilience Recovery Plan The Team around the Adult Initiative
3	Mark Baxter	Create thriving environments	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.			Substantial	Static	<p>Existing controls</p> <ul style="list-style-type: none"> Deliver Emergency Planning and Business Continuity training to Elected Members. Ensure commanders are available and briefed Continue to develop LCC business continuity management system Ensure new guidance and good practice is disseminated To ensure awareness of the partnership is maintained nationally with proactive engagement regionally and nationally in key policy developments. Provided command and control training to LCC strategic, tactical and operational managers. Taking advantage of new ways of working ie. Microsoft Teams and Zoom More resilience built around Business Continuity with Tactical Command Team Substantially improved facility within County Emergency Centre to share and support response and recovery for emergencies Multiagency debrief in November 2020 for Covid19 work <p>New and Developing</p> <ul style="list-style-type: none"> Reviewing plans for core teams and command locations Progress against action plan created following the June 2019 floods. Looking at more resilience for Emergency Planning Team Progress against multiagency report including lessons learnt following Covid 19 work and debrief

4	Glen Garrod	Provide good value Council services	Market Supply Adequacy of Social Care market supply to meet eligible needs as defined in the Care Act			Limited	Static	Existing controls <ul style="list-style-type: none"> • CQC ratings • Detoc (Delayed Transfer of Care) Performance • Provider closure contract handbook • Performance of the well being service • The Care Home Action Plan • Proof of concept, re-enablement service • Additional payments related to Covid-19 New / Developing controls <ul style="list-style-type: none"> • Development of the housing strategy including extra care development • All major re-procurements delayed by at least 1 year • Targeted recruitment support for homecare • Support to Covid-19 vaccination programme for careworkers • Responding to concurrent emergencies
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5	James Drury	Create thriving environments	Projects Ability to deliver our key projects and programmes e.g. Transformation programme	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Substantial	Improving	<p>Existing controls</p> <ul style="list-style-type: none"> Developed a programme management office and appointed a Head of Transformation All key Corporate projects are on the Transformation Programme, with reporting mechanisms being established for high priority projects not part of the Transformation Programme. Engagement with Informal Executive and political leadership Sounding Board. Initial projects all identified and agreed with identified service leads at Assistant Director and Head of Service level. Weekly project manager leads group in place to share knowledge, which produce weekly reporting to service leads and Exec. Director sponsors. Weekly and monthly individual project boards in place which report into the Transformation Steering board who has overview of the whole programme. Transformation Steering Board meets monthly, including representation of all service leads and corporate services, such as audit, HR, Finance, ICT. Regular reporting to CLT Standard Corporate templates developed and shared to all via the Professionals website to ensure consistency and best practice. Developed scrutiny reporting requirements. Comms plan and strategy developed for communication to staff <p>New and Developing</p> <ul style="list-style-type: none"> Working on forecast of costs and benefits Reviewing other programmes / projects of work across the Council and seeing what needs to be included within the Transformation Programme
6	Andrew Crookham	Provide good value Council services	Budget - LCC Funding and maintaining financial resilience	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Substantial	Static	<p>Existing controls</p> <ul style="list-style-type: none"> Balanced budget proposed for 2020/21 with modest surplus transferred to reserves Refinements to the revenue budget monitoring process including monthly exception reporting to CLT, and a further public report to be introduced in 2020/21, to increase timeliness and accuracy of figures. Introduction from February 2020 of a new, clearer Medium Term Financial Strategy, setting out the council's financial context and steps to longer term financial sustainability. Assessment of our Financial Resistance. <p>New and Developing</p> <ul style="list-style-type: none"> Identification of deep dive reviews as part of the process, and introduction of benefits realisation for the transformation programme, to support longer term sustainability Improvements to the management of the capital programme including a 10 year affordable programme, introduction of a new challenge process for 2020/21 and dedicated monitoring reports Post Covid Economic Landscape Reform of Property Taxes Health & Social Care White Paper
7	Andrew Crookham	Support high aspirations	Recruitment / Staffing Ability to recruit & retain staff in high risk areas	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Substantial	Improving	<p>Existing controls</p> <ul style="list-style-type: none"> Corporate Employee Health & Wellbeing strategy and enhanced corporate offer introduced during the Covid-19 pandemic Listening and responding to employee feedback through Smarter Working and other surveys and staff engagement events informing corporate actions Shorter and more user friendly employment policies located on the new web platform enabling easier access and search by employees and prospective applicants Corporate recruitment and retention measures established including new employer branding/social media campaigns Apprenticeship campaigns embedded including hard to recruit and retain posts <p>New / Developing controls</p> <ul style="list-style-type: none"> Launch Employer of Choice - Our People Strategy 2021 – 24 to support the delivery of our Corporate Plan – focussed on recruiting and retaining skills to enable current and future delivery of services including: <ul style="list-style-type: none"> Expansion of current enhanced health and well- being offer including launch of Mental Health First Aiders Introduction of Smarter Working and associated changes to performance appraisal and working flexibly policies Embedding all new employment policies to support cultural shift to more collaborative ways of working and early resolution of issues Completion of Manager survey to review and validate hard to recruit/retain posts and launch the updated corporate toolkit for attraction, development and retention of talent

8	James Drury	Provide good value Council services	<p>Strategic contracts Ensuring contracts and markets (other than adult care) are fit for purpose & are managed effectively</p>			Limited	Static	<p>Existing controls</p> <ul style="list-style-type: none"> • Business cases • Options appraisals • Access to legal advice and support • Use of industry standard contracts e.g. NEC • Project decision making and governance including accountable decision maker • Contract and procurement procedure rules (CPPR) • Commercial Board <p>New / Developing controls</p> <ul style="list-style-type: none"> • Commercial awareness training • Commissioning review (Sept 2020 - June 2021) • Developing reporting back to CLT • Putting together a Contract Management Toolkit which promotes good practice • Having a Commissioning Hub to overview commissioning activity including contract management in the county to promote good standards.
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9	James Drury	Provide good value Council services	Cyber The risk of a successful cyber-attack against the council with significant / critical impact			Limited	Improving	Existing controls <ul style="list-style-type: none"> Email filtering tool to protect from malicious email Internet security tool to identify and block internet born threats. Improved intruder detection and prevention software implemented. Cyber security training and awareness in place. Adoption of National Cyber Security Centre Active Cyber Defence tools Back up regime confirmed as in place by service provider Independently certified information security management system across ICT environment. Serco Security Operations team FTE increased. Developing controls <ul style="list-style-type: none"> Unsupported Windows operating systems continue to be removed from our network Continued improvements to vulnerability management (internal scanning). Microsoft 365 security controls
10	James Drury	Provide good value Council services	IT IT Infrastructure - ability to implement transformational aspirations and deliver BAU.			Substantial	Improving	Existing controls <ul style="list-style-type: none"> Portfolio of remedial projects is progressing with all projects in the build stages The infrastructure in Q1 2020 will be able to support the foreseeable aims of the council The infrastructure in Q1 2020 will be readily extensible by virtue of comprising current technologies No firm transformational challenges have been defined by the council and therefore it cannot be determined to what extent that infrastructure would need to change, if at all, to support that challenge. The ability to support transformational agendas will be commensurate with most modern organisations and will present no particular or elevated risk unique to LCC. The ability to support transformational challenges will be better than most County Councils by virtue of the extent of the recent refit LCC required. Significant level of investment in Mosaic programmes which leads to additional funding from external sources New & Developing <ul style="list-style-type: none"> New Cloud platforms (Amazon and Azure) being brought into the Architecture will deliver agility in the delivery of new systems at an unprecedented scale and capacity Delivery of the Office 365 program will deliver new tools and methods for the councils business areas to self help, with greater agility and collaboration, often not needing the IMT professional services

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