

Strategic Risk Register

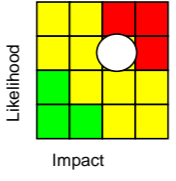
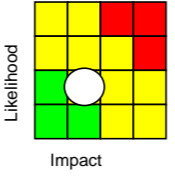
Version: 1.9

Reviewed: February 2022 (links to Corporate plan)

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	Heather Sandy	Enable everyone to enjoy life to the full	Safeguarding Safeguarding children			Substantial	Improving	<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	Enable everyone to enjoy life to the full	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 The Team around the Adult Initiative Quality practice audits LSAB Prevention Strategy in place and embedded <p>New / Developing controls</p> <ul style="list-style-type: none"> Number of safeguarding cases supported by an advocate Concluded enquiries Actions arising from the "Strategic Plan"
3	Andrew Crookham	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	Improving	<p>Existing controls</p> <ul style="list-style-type: none"> Deliver Emergency Planning and Business Continuity training to Elected Members. Email comms sent to tactical and strategic duty officers every week as a reminder of cover on the rotas. Version 3 of the Corporate Business Continuity plan issued 4 new projects managed through existing LRF protocols and funded by cabinet office. As of September 2021, 90% of command-and-control training was delivered to LCC strategic, tactical and operational managers. Multiagency debrief for Covid response and recovery have now been completed and recommendations added to the LRF tracker document. Interim operational review C19 National Foresight Group completed January 21 with recommendations being worked through A further debrief on recovery completed which coincided with operation Silver Siren <p>New / Developing controls</p> <ul style="list-style-type: none"> CCA integrated review In preparation for Flood X (National exercise for 2022), plans to be reviewed before September 2022 Pilot around LRFs which are looking at the Civil Contingencies Act with a view to this being updated Ongoing development of training courses for commanders and LRFs Looking at more resilience during national prolonged emergencies Monitoring of LRF tracker document County control upgrade complete, however IT to be implemented to a good standard
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	<p>Existing controls</p> <ul style="list-style-type: none"> Monitoring of CQC ratings, including comparison to other LA's Delayed Transfer of Care (DToC) Performance Loss of Provider Process (enacted where required) Robust Contract Management of all Commissioned Services, including intervention work programme Service Quality Review – multi agency response to high-risk provision Home Based Reablement Service pilot to broaden eligibility Additional payments relating to Covid-19 Workforce Development Strategy Group (led by Justin Hackney) <p>New/Developing controls</p> <ul style="list-style-type: none"> Development of the housing strategy including extra care development New specification and contracts for Residential Care (commencing 1st April 2022) Ongoing support in relation to Covid-19 Vaccinations Assessment and monitoring of impact on Vaccination as a Condition of Deployment (VCOD) regulations – across all CQC registered activity Carer attraction campaign – promoting Care as a career and development of branding

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5	Executive Director responsible for Commercial Directorate	Create thriving environments	Projects Ability to deliver our Transformation programme			Limited	Improving	<p>Existing controls</p> <ul style="list-style-type: none"> • Routine reporting to Overview & Scrutiny Management Board (OSMB) • A number of key corporate projects are on the Transformation Programme. • Dedicated SharePoint site with updated standardised project templates • Implemented interim management structure to oversee the programme. • Governance in place for strategic, tactical and operational project levels. <p>New and Developing</p> <ul style="list-style-type: none"> • Developing a new Transformation Team to lead key areas of activity • Priority projects being revised and reconsidered in line with Corporate Plan priorities • Further governance arrangements being reviewed in line with corporate priorities to manage impact on corporate support services. • Gateway review process being tested. • Aligning transformation programme to Corporate Plan and Political Manifesto
6	Andrew Crookham	Provide good value Council services	Budget - LCC Funding and maintaining financial resilience			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 resilience. <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 - Brexit, Shipping, material costs etc. • Reform of Property Taxes • Health & Social Care White Paper • Fair funding Review • Levelling Up White Paper
7	Andrew Crookham	Support high aspirations	Recruitment / Staffing Ability to recruit & retain staff in high risk areas			Limited	Deteriorating	<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 surveys and staff engagement events informing corporate action • 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 future delivery of services incl. - Developing an Attraction and Retention (A&R) framework, this and the wider A&R project is the top People Strategy priority. A&R initiatives within the framework have received CLT approval - Expansion of current enhanced health and well-being offer and launch of Mental Health First Aiders - Expansion to employee benefits e.g. salary sacrifice, green cars - Implementation 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 along with new managers guidance on Lincs2 learn and SharePoint - Producing resourcing analytics for quarters 1-3 and year to date, and further development of Resourcing Management Information in addition to Human Resources Management Information (HRMI) - Seeking funding for an additional resourcing post to support transformation of service delivery

8	Executive Director responsible for Commercial Directorate	Provide good value Council services	Strategic contracts Ensuring contracts and markets (other than adult care) are fit for purpose & are managed effectively			Limited	Static	Existing controls <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 • Commissioning review (Sept 2020 - September 2021) New / Developing controls <ul style="list-style-type: none"> • Developing reporting back to CLT • Putting together a Contract Management Toolkit which promotes good practice • Recruitment of Category Leads • Commissioning Hub • Overview plan completed, further action plan to be developed.
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9	Executive Director responsible for Commercial Directorate	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 Increasing coverage of Microsoft 365 security controls deployed in line with project deployment
10	Executive Director responsible for Commercial Directorate	Provide good value Council services	IT IT Infrastructure - ability to implement transformational aspirations and deliver BAU.			Limited	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 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
11	Glen Garrod	Provide good value Council services	Outstanding debt Securing efficient and effective end-to-end processes for the recovery of income due to the Council			Limited	Improving	Existing controls <ul style="list-style-type: none"> Established systems are in place for raising invoices. Credit control procedures are in place, e.g. for issuing reminders. Escalation procedures are in place for pursuing overdue debts. Detailed monthly reports on debtors are provided to the Finance team. The annual audit of key controls will continue. New & Developing <ul style="list-style-type: none"> Implementation of a comprehensive 22-point action plan. Regular oversight and management of necessary improvements by ACCW Directorate Leadership Team A detailed audit is planned for 2023 to assess progress against the action plan
12	Executive Director responsible for Commercial Directorate	Provide Good value Council Services	Serco Contract Exit of Serco contract ending and transition into the new arrangements			Substantial	Static	Existing controls <ul style="list-style-type: none"> Programme Director in place to lead of Implementation Full sessions and buy in from CLT / OSMB / Executive / Leader New & Developing <ul style="list-style-type: none"> Implementation of the programme / project plan with key milestone dates. Refresh governance arrangements and reporting lines Links with the Corporate programme optimisation and alignment to these functions

Issues log - July 2018

ID	Status	Priority	Issue / Description	Escalation neededY/N
1	Closed	Low	Maintenance of effective	No
2	Closed	Medium	Sucession planning, in	No
3	Work in progress	Medium	Increasing complexity of demand for ASC &	No
4	Closed	Low	GDPR	No
5	Closed	Low	Change in Leadership and	No
6	Closed	Low	Not being able to obtain adequate insurance	No

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