


**Quarterly Summary of Progress with AGS Risk Actions
to SMF 22nd March 2018 and Audit Committee 27th March 2018**

Significant current issues from 2016/17 in focus in 2017/18.

The risk actions below were identified in the 2016/17 AGS review. Progress will continue to be made in 2017/18, monitored and driven forward by the Service Managers Group.

Please note that as part of the last AGS it was determined that:

- Health & Safety – Framework for risk assessment: was defined green status 4/4/17 and thus has been removed
- Health & safety – Responsible officers: Procedural requirements in place, no further risks identified during AGS process. Has now been removed
- Information Management and IT disaster recovery both remain as issues, but significant progress has been made on each
- Two areas to ‘watch’ identified – Partnership companies (set up especially) and LPMM compliance

	What actions will be taken over the coming months	What progress have we made against each action	RAG Status
<p>Information Management:</p> <p>Legal and Democratic Services Manager</p>	<p><i>2016/17 AGS narrative: During 2016/17 significant progress has been made on delivering the Information Management training programme – but it is still not yet quite complete, although this is now expected to be completed by July 2017. We need to ensure we comply with the GDPR by May 2018.</i></p> <p>RED to AMBER:</p> <ul style="list-style-type: none"> • Training programme to be concluded by July 2017 <p>AMBER to GREEN:</p> <ul style="list-style-type: none"> • Ongoing training programme implemented and training materials finalised • Privacy Impact Assessment procedure rolled out • Review of all existing contracts and partnerships for information sharing arrangements • Any additional work to ensure compliance with the European Data Protection Regulation due to be in force May 2018 	<p>The Information Governance Officer has delivered generic and tailored training to each team. An Information Asset Owner (IAO) Handbook has been prepared and circulated with the first training undertaken in Q1, and the second in September. <i>IAO's now have a checklist to complete, following further training which was carried out in February 2018. Contracts data is currently being reviewed.</i></p> <p>The E-learning programme continues to be rolled out to teams, <i>and AD's are now chasing individual staff members who have not yet completed the training.</i> Further actions are contained in the Information Management Action Plan and Management Plan and monitored by Audit Committee/AD Group, which is largely on target to implement the GDPR Project by May 2018.</p>	

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<p>IT Disaster Recovery</p> <p>BDIT Manager</p> <p>(ICT DR Plan)</p> <p>CFO (Business Continuity)</p>	<p><i>2016/17 AGS narrative: Arrangements to cover major events are well underway with a secondary ICT location established and tested and fully functional at Hamilton House. A draft ICT Disaster Recovery Plan has been written and is now being tested against Corporate Business Continuity plans. The final plan needs to be agreed by the Business Continuity Group to complete this exercise.</i></p> <p>RED to AMBER:</p> <ul style="list-style-type: none"> Construction of a secondary data centre at Hamilton House - complete <p>AMBER to GREEN:</p> <ul style="list-style-type: none"> Revisit all Business Continuity Plans – commence January 2017 ICT DR Plan is being developed for Business Continuity Group and requires feedback following review of business Continuity plans. These will be worked on concurrently, to complete by June 2017. ICT DR Plan to be considered and reviewed for changes and or future requirements 	<p>Progress on the ICT DR Plan has been made for Business Continuity Group. 1-2-1's held with service areas with a table top exercise to be scheduled later in 2018</p> <ul style="list-style-type: none"> The Draft DR Plan is now complete and reviewed by BC group. The Plan has been considered by CMT and approved on 31st October 2017 Consultation with service areas is complete An internal audit on DR plan/BC issues is complete. Issues arising from the audit were referred to BC group for consideration Meetings were held in January and March and further meetings will be held to review progress on all recommendations. The three key outstanding actions are all considered to be low level recommendations and thus low risk. The expectation is that there will be substantial progress on these by September 	<p>A</p>
<p>Other areas to retain a focus on during 2017/18 but are not classed as 'significant issues';</p>			
<p>Partnership companies</p>	<p><i>The council has little experience of the process of setting up a new partnership company (solely owned or a joint venture) and care needs to be taken to select the right governance framework arrangements, ensuring appropriate formal legalities and financial aspects are in place.</i></p>	<p>The proposed Housing Company - the latest position is that:</p> <ol style="list-style-type: none"> Executive made a decision in principle to establish a company in February 2016 January 2017 there was approval for the company to be progressed subject to General Fund due diligence work The full Business Case was presented to Policy Scrutiny on the 28th November and approved by Executive on 18th December 2017 Lincoln Quality Homes to be set up by April 2018 	<p>G</p>

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		<p>At this point there are no other new ventures in the immediate frame, but the TFS Board has received a general report from the Finance consultant which contained views on when it is appropriate to consider using a partnership company and what safeguards to consider</p>	
<p>Loss of compliance to Lincoln Project Management Model</p>	<p><i>Project management monitoring arrangements are currently under review. Any changes will need to include a mechanism to ensure ongoing compliance with the Lincoln Project Management Model</i></p>	<p>A report on the options for the future of the Strategic Plan Implementation Team was reviewed by CMT and CLT in September 2017. This involves ensuring that the financial monitoring and the operational aspects of project management are both considered for all defined projects.</p> <p>A full review of the Lincoln Project Management Model is currently underway to incorporate agreed changes to move from the Strategic Project Implementation Team (SPIT) to the Capital Project Team (CPT) overseen by the Corporate Leadership Team.</p> <p>Until these changes are agreed and implemented, SPIT will continue alongside the introduction of the CPT</p>	<p style="text-align: center;">G</p>