

## APPENDIX B - STRATEGIC RISK REGISTER

<b>Likelihood</b>	A Almost Certain				
	B Probable			6. 3.	2.
	C Possible			4. 7.	1. 5.
	D Hardly Ever				
		4 Negligible	3 Minor	2 Major	1 Critical
		<b>Impact</b>			

**RISK REGISTER: STRATEGIC RISKS – AS AT Q3 end: 31 December 2017**

**VERSION: 1**

**REVIEWED:**

**CMT 07/11/17**

**Risk owners 06.02.18**

**CMT 08/02/18**

**OWNER: CORPORATE MANAGEMENT TEAM**

All of the objectives on this Register are linked to the Council's Vision 2020 and four strategic objectives, which are:

- Let's drive economic growth
- Let's reduce inequality
- Let's deliver quality housing
- Let's enhance our remarkable place

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2018	Level of Mgmt Assurance - (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
1.	Engaging with the Council's strategic partners, council staff and stakeholders to deliver against the Council's Vision 2020.	CX	<b><u>Creative &amp; Aware</u></b>  Projects & Major Change  Partnerships	<ul style="list-style-type: none"> <li>New Vision 2020 including 4 new strategic priorities launched internally</li> <li>Vision developed following extensive consultation with, businesses, partners and community groups.</li> <li>Strong focus internally on 4 very clear strategic priorities within the Vision 2020</li> <li>Resources in MTFS directed towards strategic projects</li> <li>Dedicated officer support to ensure delivery of the 3-year programme, 'keeping the Vision alive'.</li> <li>Communications plan and stakeholder mapping done</li> <li>Review of internal delivery groups to ensure focus on delivery of projects</li> <li>First 4 x Vision Group meetings took place w/c 2.5.17 and continue</li> <li>All Vision 2020 related internal comms now being clearly flagged as being Vision 2020 projects</li> <li>Comms log' now being kept, to keep abreast of all Vision 2020 comms activity – both internal and external</li> <li>External launch of Vision including engagement with the GLLEP, Chamber of Commerce etc. –Feb 2017</li> <li>Promotion of the Vision through hoarding displays</li> <li>Online 'Engine Room' launched 22.6.17,</li> </ul>	<ul style="list-style-type: none"> <li>High Performing Services arrangements scoped (July 2017) – inaugural meeting held 1.8.17. Still early days for this group</li> <li><b>Determination of the range of conferences for the next year to support the vision i.e Lincoln's Vision 2020 Conference in March 2018</b></li> <li><b>Sponsorship of Lincolnshire Construction and Property Awards in February 2018</b></li> <li><b>Alignment of Vision 2020 with Portfolios</b></li> <li><b>Vision 2020 staff roadshows to be undertaken in January 2018.</b></li> <li><b>Revision of internal and external communication methods to be undertaken Feb-March 2018</b></li> </ul>			Substantial	<b>Improving</b>

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				<ul style="list-style-type: none"> <li>Physical Engine Room designed in Committee Room 4</li> <li>Annual Report with a focus on achievements towards Vision 2020 – to be sent to stakeholders by CX/Leader – Nov 2017</li> </ul>					
2.	To deliver a sustainable Medium term Financial Strategy	CFO	<b><u>Creative &amp; Aware</u></b>  Finance & Money	<ul style="list-style-type: none"> <li>Draft 5 Year MTFS approved for scrutiny and consultation – based on Local Government Finance Settlement, delivering a sustainable budget in the medium term and includes identification of key risks and controls/actions in place.</li> <li>MTFS 2018-23 continues to support Vision 2020</li> <li>Good financial management with               <ul style="list-style-type: none"> <li>Quarterly monitoring and reporting to CMT, Exec and Performance Scrutiny Committee (including specific risks)</li> <li>SPIT monitoring of capital programme</li> <li>Savings targets monitored through Towards Financial Sustainability (Risk No 4)</li> <li>Key income budgets monitored monthly by CMT with mitigation plans for areas of target monitored quarterly.</li> <li>Monitoring arrangements</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Link to TOFS Programme, risk no 4 below.</li> <li>Continued assessment of changes in business rates – to 75% BR</li> <li>Draft MTFS 2018-23 prepared and subject to consultation and scrutiny – Jan - Feb 18</li> </ul>			Full	Static

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				<p>firmly established for business rates, including the Lincolnshire Pool</p> <ul style="list-style-type: none"> <li>Budget flexibility to deal with in year changes</li> <li>Council has been successful in its bid to be a 100% Business Rates Pilot for 2018/19 with all Lincolnshire Districts together with the County and North Lincolnshire Council.</li> <li>Budget Setting report, including challenges and key assumptions considered by Executive 30/10/17</li> <li>Establishment of the Wholly Owned Housing Company business plan –approved by Executive in December 2017</li> </ul>					
3.	<p>To ensure compliance with statutory duties and appropriate governance arrangements are in place, including:</p> <ul style="list-style-type: none"> <li>Health &amp; Safety</li> <li>Information Management/IT Security</li> <li>ICT Disaster Recovery</li> </ul>	CLT	<p><b><u>Creative &amp; Aware</u></b></p> <p>Regulatory standing &amp; legal compliance</p> <p><b>Cautious</b></p> <p>Business Continuity</p>	<ul style="list-style-type: none"> <li>Annual Governance Statement reviewed on an annual basis with plan/milestones developed for all significant issues, delivery of which is monitored quarterly through the Assistant Directors Team/Audit Committee</li> <li>Internal audit reviews undertaken as part of annual audit plan</li> <li>Health and Safety Development Plan/Work Programme in progress (includes the development of specific action plans e.g Asbestos</li> <li>Corporate Groups in place</li> </ul>	<ul style="list-style-type: none"> <li>Continued progression of ongoing actions in Information Governance Strategy. Data Protection e-learning package for all staff at 70% completion and increasing. To be re-presented every 2 years</li> <li>Information Management polices to be updated to reflect GDPR by May 18.</li> <li>DPO to be appointed before May 18.</li> </ul>		Substantial	Static	

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				<p>which monitor work programmes/ actions for H&amp;S, e.g, Safety Matters Review Group/Champions</p> <ul style="list-style-type: none"> <li>Information Management Strategy and Action Plan approved in November 2015. Key elements being training programme for teams now completed and Information Asset Audit conducted.</li> <li>Information Asset Register created and updated Retention schedules.</li> <li>Info Governance Project Officer post extended to complete action plan – including policy work, staff training.</li> <li>Formation of GDPR working group and Action Plan, being overseen by IG Group and Audit Committee</li> <li>Restructure of Health &amp; Safety Team completed and all roles now recruited to.</li> <li>Positive progression of actions in Health and Safety Development Plan (specific timescales in plan, majority of areas complete). Internal Audit carried out a review of CH&amp;S to assess progress against plan – Mar 17. Substantial assurance</li> <li>ITDR Plans – Business continuity arrangements for IT including new serves at Hamilton House now in place and endorsed at CMT.</li> </ul>	<ul style="list-style-type: none"> <li>Continued progression of ongoing actions in Information Governance Strategy. Data Protection e-learning package for all staff at 70% completion and increasing. To be re-presented every 2 years</li> <li>Information Management polices to be updated to reflect GDPR by May 18.</li> <li>DPO to be appointed before May 18.</li> <li>Continued progression of GDPR Action Plan and Training Needs Plan.</li> <li>GDPR included in Vision 2020 project plan.</li> <li>Waiting outcome of HSE inspection</li> <li>ITBC plan endorsed by CMT (Oct 17), now needs to have operational testing and delivery</li> <li>ITDR plan endorsed by BC meeting (August), and CMT (November) now needs to have operational testing and delivery. . Internal Audit</li> </ul>				

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					<p>completed and actions referred to BC group for consideration</p> <ul style="list-style-type: none"> <li>DR procedure manual has been developed ( which is expected to change frequently as we build and refine)</li> <li>All critical service business continuity plans have been revisited in light of new arrangements</li> <li>BC group has now considered issues and allocated responsibilities, which will be reviewed again in March 18</li> <li>A Revision of procedures for management of non –operational buildings is to be undertaken together with the allocation of an appropriate RO . A working group being set up to undertake this</li> </ul>				
4.	Deliver the Towards Financial Sustainability Programme whilst ensuring the	CFO	<b><u>Creative &amp; Aware</u></b>  Projects & Major Change  <b><u>Hungry</u></b>	<ul style="list-style-type: none"> <li>TFS Board and Programme Team in place.</li> <li>Established procedures and monitoring arrangements</li> <li>Reporting of achievement against targets included within quarterly financial</li> </ul>	<ul style="list-style-type: none"> <li>Delivery of Phase 4 programme through existing management and monitoring systems – ongoing to complete outstanding projects</li> </ul>			Full	Static

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	resilience of the Council		Reputation and Public Confidence	<p>monitoring/performance monitoring reports to Executive/Performance Scrutiny Committee</p> <ul style="list-style-type: none"> <li>Inclusion of ToFS Projects on DMT agendas to ensure focus remains on delivering against timescales.</li> <li>Annual reporting of progress and forward programme PSC</li> <li>Programme of reviews in place and monitored monthly through Board and Team.</li> <li>Development of phase 5 with Service Managers, focussing on commercialisation and possible incentive scheme.</li> <li>Target of £3.5m for 2017/18 overachieved.</li> <li>Savings targets increased as part of MTFS 2018-23.</li> </ul>	<ul style="list-style-type: none"> <li>Commence the delivery of phase 5 of the programme in Nov 17, with a focus on the 3 strands: <ul style="list-style-type: none"> <li>Asset Rationalisation (freeing up necessary resource to focus on this area)</li> <li>Commercial activities including advertising income</li> <li>Savings/ shared services /demand management.</li> </ul> </li> <li>Further years programmes to be considered – to achieve increase in targets as per the revised MTFS 2018-23</li> </ul>				
5.	Develop an appropriate strategic response to the changing structures in Local Government	CX	<b><u>Creative &amp; Aware</u></b> Partnerships	<ul style="list-style-type: none"> <li>Information gathering and a watching brief on national and local developments</li> <li>Formation of RLG Group (Reshaping Local Government) has been formed and meets regularly to review local and national developments, which continue to be monitored regularly. This includes the proposed business rate retention consultation, and any proposals for fairer funding arrangements.</li> </ul>	<ul style="list-style-type: none"> <li>Information gathering and a watching brief on national and local developments – ongoing.</li> <li>Reviewing a range of policies, statistics and potential scenarios and keeping a watching brief nationally</li> </ul>			Substantial	Improving

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6.	Meet the emerging changes required in the Council's culture, behavior and skills to support the delivery of the council's Vision 2020 and the transformational journey to a "performance culture".	CS	<b><u>Creative &amp; Aware</u></b>  People	<ul style="list-style-type: none"> <li>Leadership development delivered to CMT, Assistant Directors and Service Managers</li> <li>New HR Manager in post.</li> <li>Lead roles within HR developed for Health and Wellbeing and Performance.</li> <li>New People Strategy and action plan developed, approved March 2017</li> <li>New appraisal system implemented – June 2017</li> <li>Coaching Programme for CMT, Assistant Directors and Service Managers to be delivered – started August 2017</li> </ul>	<ul style="list-style-type: none"> <li>Implementation of People Strategy action plan – <b>annual review.</b></li> <li>Staff Recognition scheme to be rolled out in Q3</li> <li>Volunteering programme being put together to support people strategy enhance staff wellbeing and corporate social responsibility– CLT in Nov-Dec 2017</li> <li>Further coaching programme to be made available for team leaders – TBC</li> <li>CMT to evaluate Coaching programme – Dec/Jan 2018</li> </ul>			Substantial	Static
7.	Ensure sufficient levels of resilience and capacity exist in order to deliver key strategic projects within the Council	CX	<b><u>Creative &amp; Aware</u></b>  Projects & Major Change	<ul style="list-style-type: none"> <li>BCP Plans in place for critical services</li> <li>New Vision 2020 launched, with associated 3 year programme, forming basis of service plans and priorities</li> <li>Strategic Projects reported on a quarterly basis to CMT/Exec/PSC</li> <li>Programme Boards established for key strategic projects.</li> <li>Draft MTFS 2017-22 allocates resources in line with Vision 2020.</li> </ul>	<ul style="list-style-type: none"> <li>Allocation of further resources of £140k to areas needed further capacity (continued utilisation during 2017/18)</li> <li>DMD – deliberate slowing down of some phase 2 projects to concentrate on key priorities for 17/18</li> <li>Service planning 2018/19 to ensure capacity exists before commitments</li> </ul>			Substantial	Static



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				<ul style="list-style-type: none"> <li>Lincoln Project Management model in place including allocation of Project Managers, Sponsors, appropriate project management records and Identification of critical tasks within specific project plans</li> <li>Regular reporting of other all Strategic Plan schemes</li> <li>Development of skills and abilities of key leaders and staff through Leadership Development Programme</li> <li>New Director of Communities &amp; Environment in place.</li> <li>New position of Major Developments Director established and recruited</li> <li>Restructure of MDD complete with staff resources allocated.</li> <li>Restructure of Housing /Regeneration approved</li> <li>Some temporary additional resource has been provided within Finance</li> <li>CX recruited temporary CFO to bring stability to the service</li> <li>CMT to undertake a review of existing commitments to fit capacity (financial and resource) to project Recruitment to two vacant Assistant Directors posts within DHR</li> <li>DCE has appointed additional S3 resource to</li> </ul>	<ul style="list-style-type: none"> <li>made</li> <li>Recruitment process undertaken to recruit to AD – Strategic Development – start date 8 January 2018</li> <li>Further recruitment within DHR to both Assistant Director Roles Dec- Feb 2018</li> <li>Priority setting to commence by CMT Jan-Feb 2018</li> <li>Draft Service plans to be completed early March 2018</li> </ul>				

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				support project delivery					