

# Appendix A



## STRATEGIC RISK REGISTER

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

**RISK REGISTER: STRATEGIC RISKS – AS AT Q4 end: 31 March 2018**

**VERSION: 1**

**REVIEWED:**

**CMT 07/11/17**

**Risk owners 06.02.18**

**CMT 08/02/18**

**Risk owners 25.04.18**

**CMT 08.05.18**

**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:

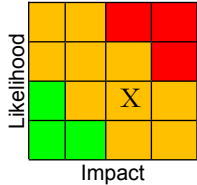
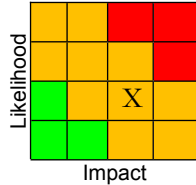
- Let's drive economic growth
- Let's reduce inequality
- Let's deliver quality housing
- Let's enhance our remarkable place

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> </ul>	<ul style="list-style-type: none"> <li>High Performing Services monitoring arrangements in place</li> <li><b>Determination of the range of conferences for the next year to support the vision 2020 . Follow up session with key partners to be arranged following COL Vision 2020 Conference – June 2018</b></li> <li><b>Alignment of Vision 2020 with Portfolios – May 2018</b></li> <li><b>Revision of internal and external communication methods to be undertaken March – April 2018</b></li> </ul>			Substantial	<b>Static</b>

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)				
				<ul style="list-style-type: none"> <li>Promotion of the Vision through hoarding displays</li> <li>Online ‘Engine Room’ launched 22.6.17,</li> <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> <li>Vision 2020 staff roadshows undertaken in January 2018.</li> <li>Sponsorship of Lincolnshire Construction and Property Awards in February 2018</li> <li>Successful COL Vision 2020 Conference held in March 2018.</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>MTFS 2018-23 approved in March 2018, 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</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Link to TOFS Programme, risk no 4 below.</li> <li>Continued assessment of future funding reforms, including The Fair Funding Review, reset of business rates baselines and 75% retention of business rates - Ongoing</li> <li>Establishment if revised monitoring arrangements for Lincolnshire Business Rates Pilot</li> </ul>			Full	Static

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)				
				<p>plans for areas of target monitored quarterly.</p> <ul style="list-style-type: none"> <li>Monitoring arrangements firmly established for business rates, including the Lincolnshire Pool</li> <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> </ul>	– July 2018				
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>Creative &amp; Aware</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 which monitor work programmes/ actions for H&amp;S, e.g, Safety Matters Review Group/Champions</li> <li>Information Management Strategy and Action Plan</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. To be re-presented every 2 years</li> <li>Information Management polices to be updated to reflect GDPR by May 18.</li> <li>Continued progression of GDPR Action Plan and Training Needs Plan.</li> <li>Waiting outcome of HSE inspection – outcome could be expected anytime up to October 2019</li> <li>ITDR plan endorsed</li> </ul>			Substantial	Improving

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)				
				<p>approved in November 2015. Key elements being training programme for teams now completed and Information Asset Audit conducted.</p> <ul style="list-style-type: none"> <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> <li>ITBC plan now endorsed and all critical service BCP's has been reviewed – March 2018</li> <li>DR procedure manual has been developed ( which is</li> </ul>	<p>and now needs testing which is to be scheduled in new financial year</p>				

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)				
				<p>expected to change frequently as we build and refine)</p> <ul style="list-style-type: none"> <li>Revision of procedures for management of non-operational buildings completed and control measures implemented February 2018</li> <li>DPO has been appointed.</li> <li>GDPR included in Vision 2020 project plans.</li> </ul>					
4.	Deliver the Towards Financial Sustainability Programme whilst ensuring the resilience of the Council	CFO	<p><b><u>Creative &amp; Aware</u></b></p> <p>Projects &amp; Major Change</p> <p><b><u>Hungry</u></b></p> <p>Reputation and Public Confidence</p>	<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 monitoring/performance monitoring reports to Executive/Performance Scrutiny Committee</li> <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>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>Monitor delivery of Phase 5 Programme through established arrangements - ongoing</li> </ul>			Full	Static

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)				
				<ul style="list-style-type: none"> <li>Delivery of Phase 5 (designed to overachieve targets in MTFS) commenced in November 2017 with a focus on 3 strands.</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	Static
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 – annual review.</li> <li>Staff Recognition scheme in progress</li> <li>Health and Wellbeing group being set up with staff to support People Strategy – March 2018</li> <li>Registration of Virgin Corporate Global Challenge for staff – May 2018</li> <li>Further coaching programme to be</li> </ul>			Substantial	Improving

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)				
				<ul style="list-style-type: none"> <li>Volunteering programme rolled out to support people strategy enhance staff wellbeing and corporate social responsibility– CLT in Nov-Dec 2017</li> </ul>	<ul style="list-style-type: none"> <li>made available for team leaders – TBC</li> <li>CMT to evaluate Coaching programme –May 2018</li> </ul>				
7.	Ensure sufficient levels of resilience and capacity exist in order to deliver key strategic projects within the Council	CX	<b>Creative &amp; Aware</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>MTFS 2018-23 allocates resources in line with Vision 2020.</li> <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>Appointments have been made and Officers are in</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>Service planning 2018/19 to ensure capacity exists before commitments made – April 2018</li> <li>Final sign off of Vision 2020 Phase 2 projects – May 2018</li> <li>Review of current work allocations within Directorates - May 2018</li> <li>Commencement recruitment process for vacant Director of Housing &amp; Regeneration – May 2018</li> </ul>			Substantial	Static



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)				
				<p>post for the two vacant Assistant Directors in Housing &amp; Regeneration</p> <ul style="list-style-type: none"> <li>• Interim Assistant Director – Strategic Development is in post.</li> <li>• Priority setting for Phase 2 projects, 2018/19 – 2019/20 commenced through CMT and Portfolio Holders</li> </ul>					