

CITY OF LINCOLN STRATEGIC RISK REGISTER

Likelihood	4 Almost Certain				
	3 Probable			6. 7.	2.
	2 Possible			4.3.	1. 5.
	1 Hardly Ever				
		1 Negligible	2 Minor	3 Major	4 Critical
	Impact				

STRATEGIC RISK REGISTER:

REVIEWED DATES:

CMT 07/11/17

Risk owners 06.02.18

CMT 08/02/18

Risk owners 25.04.18

CMT 08.05.18

Tool 1. Risk Appetites - U:\Current_RISK Management\Toolkit - JULY 2018\Tool No 1 Risk appetites.pdf

Those “green” risks that have been on the risk register for 6 months or more can now be classed as “business as usual” risk and therefore be removed from the register

Likelihood	4 Almost certain	Retain	Transfer Modify Retain	Avoid Transfer Modify	Avoid Transfer Modify	Description of occurrence	Occurs several times per year. It will happen.
	3 Probable	Retain	Prioritise for Modifying Retain	Transfer Modify Retain	Avoid Transfer Modify		It has happened before and could happen again.
	2 Possible	Retain	Prioritise for Modifying Retain	Prioritise for Modifying Retain	Transfer Modify Retain		It may happen but it would be unusual.
	1 Hardly ever	Retain	Retain	Retain	Prioritise for Modifying Retain		Never heard of it occurring. We can't imagine it occurring.
		1 Negligible	2 Minor	3 Major	4 Critical		

Impact	Service Delivery	Finance	Reputation	People
Critical (4)	Prolonged interruption to service	Severe costs incurred	Adverse national coverage with significant change in stakeholder confidence	Fatality, disability or serious long term health problem
Major (3)	Key targets missed- some service compromised	Significant costs incurred	Adverse local media coverage with moderate change in stakeholder confidence	Series injuries. Exposure to dangerous conditions
Minor (2)	Management action required to over short – term difficulties	Some costs incurred (handled within management budgets)	Adverse local media for 1-7 days	Minor injuries or discomfort. Feeling unease
Negligible (1)	Handled within day to day routines	Little loss anticipated	No significant comment or media coverage	No injury

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	<p><u>Creative & Aware</u></p> <p>Projects & Major Change</p> <p>Partnerships</p>	<ul style="list-style-type: none"> New Vision 2020 including 4 new strategic priorities launched internally Vision developed following extensive consultation with, businesses, partners and community groups. Strong focus internally on 4 very clear strategic priorities within the Vision 2020 Resources in MTFS directed towards strategic projects Dedicated officer support to ensure delivery of the 3-year programme, 'keeping the Vision alive'. Communications plan and stakeholder mapping done Review of internal delivery groups to ensure focus on delivery of projects First 4 x Vision Group meetings took place w/c 2.5.17 and continue All Vision 2020 related internal comms now being clearly flagged as being Vision 2020 projects Comms log' now being kept, to keep abreast of all Vision 2020 comms activity – both internal and external External launch of Vision including engagement with the GLLEP, Chamber of Commerce etc. –Feb 2017 Promotion of the Vision through hoarding displays Online 'Engine Room' 	<ul style="list-style-type: none"> High Performing Services monitoring arrangements in place Follow up session with key partners to be arranged following COL Vision 2020 Conferences Q2 Revision of internal and external communication methods to be undertaken– Ongoing Continuation of partner meetings and 3rd sector - ongoing 			Substantial	Static

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				<p>launched 22.6.17,</p> <ul style="list-style-type: none"> Physical Engine Room designed in Committee Room 4 Annual Report with a focus on achievements towards Vision 2020 – to be sent to stakeholders by CX/Leader – Nov 2017 Vision 2020 staff roadshows undertaken in January 2018. Sponsorship of Lincolnshire Construction and Property Awards in February 2018 Successful COL Vision 2020 Conference held in March 2018. Alignment of Vision 2020 with Portfolios – May 2018 					
2.	To deliver a sustainable Medium term Financial Strategy	CFO	<u>Creative & Aware</u> Finance & Money	<ul style="list-style-type: none"> MTFS 2018-23 approved in March 2018, continues to support Vision 2020. Good financial management with <ul style="list-style-type: none"> Quarterly monitoring and reporting to CMT, Exec and Performance Scrutiny Committee (including specific risks) SPIT monitoring of capital programme Savings targets monitored through Towards Financial Sustainability (Risk No 4) Key income budgets monitored monthly by CMT with mitigation plans for areas of target monitored quarterly. Monitoring arrangements 	<ul style="list-style-type: none"> Link to TOFS Programme, risk no 4 below. Continued assessment of future funding reforms, including The Fair Funding Review, reset of business rates baselines and 75% retention of business rates – Ongoing – Mitigation action plans to be developed and implemented in response to forecast overspend reported at Q1, including car parking income generation strategy - 			Substantial	Declining

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				<p>firmly established for business rates, including the Lincolnshire Pool</p> <ul style="list-style-type: none"> Budget flexibility to deal with in year changes 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. New monitoring arrangements now in place. 	<p>Aug 18</p> <ul style="list-style-type: none"> Budget Strategy including review of assumptions and budget pressures to be prepared – Sept 18 Development of BR Pilot Bid for 2019/20 – Sept 18 				
3.	<p>To ensure compliance with statutory duties and appropriate governance arrangements are in place, including:</p> <ul style="list-style-type: none"> Health & Safety Information Management/IT Security ICT Disaster Recovery 	CLT	<p><u>Creative & Aware</u></p> <p>Regulatory standing & legal compliance</p> <p>Cautious</p> <p>Business Continuity</p>	<ul style="list-style-type: none"> 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 Internal audit reviews undertaken as part of annual audit plan Health and Safety Development Plan/Work Programme in progress (includes the development of specific action plans e.g Asbestos) Corporate Groups in place which monitor work programmes/ actions for H&S, e.g. Safety Matters Review Group/Champions Information Management Strategy and Action Plan approved in November 2015. Key elements being training programme for teams now completed and 	<ul style="list-style-type: none"> Continued progression of ongoing actions in Information Governance Strategy. Data Protection e-learning package for all staff. To be re-presented every 2 years Information Management polices to be updated to reflect GDPR by May 18. Continued progression of GDPR Action Plan and Training Needs Plan. Waiting outcome of HSE inspection – outcome could be expected 			Substantial	Static

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				<p>Information Asset Audit conducted.</p> <ul style="list-style-type: none"> Information Asset Register created and updated Retention schedules. Info Governance Project Officer post extended to complete action plan – including policy work, staff training. Formation of GDPR working group and Action Plan, being overseen by IG Group and Audit Committee Restructure of Health & Safety Team completed and all roles now recruited to. 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&S to assess progress against plan – Mar 17. Substantial assurance ITDR Plans – Business continuity arrangements for IT including new serves at Hamilton House now in place and endorsed at CMT. ITBC plan now endorsed and all critical service BCP's has been reviewed – March 2018 DR procedure manual has been developed (which is expected to change frequently as we build and refine) Revision of procedures for management of non-operational buildings completed and control 	<ul style="list-style-type: none"> anytime up to October 2019 ITDR plan endorsed and now needs testing which is to be scheduled in new financial year Continue the current review of contracts for personal data Implementing and reviewing process for retaining and disposing of documents in systems Data protection sessions carried out across the teams and the e-learning package and low risk data protection training rolled out. 				

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				measures implemented February 2018 <ul style="list-style-type: none"> DPO has been appointed. GDPR included in Vision 2020 project plans. 					
4.	Deliver the Towards Financial Sustainability Programme whilst ensuring the resilience of the Council	CFO	<u>Creative & Aware</u> Projects & Major Change <u>Hungry</u> Reputation and Public Confidence	<ul style="list-style-type: none"> TFS Board and Programme Team in place. Established procedures and monitoring arrangements Reporting of achievement against targets included within quarterly financial monitoring/performance monitoring reports to Executive/Performance Scrutiny Committee Inclusion of ToFS Projects on DMT agendas to ensure focus remains on delivering against timescales. Annual reporting of progress and forward programme PSC Programme of reviews in place and monitored monthly through Board and Team. Target of £3.5m for 2017/18 overachieved. Savings targets increased as part of MTF5 2018-23. Delivery of Phase 5 (designed to overachieve targets in MTF5) commenced in November 2017 with a focus on 3 strands. 	<ul style="list-style-type: none"> Monitor delivery of Phase 5 Programme through established arrangements - ongoing 			Full	Static
5.	Develop an appropriate strategic	CX	<u>Creative & Aware</u>	<ul style="list-style-type: none"> Information gathering and a watching brief on national and local developments 	<ul style="list-style-type: none"> Information gathering and a watching brief on national and local 			Substantial	Static

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	response to the changing structures in Local Government		Partnerships	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> developments – ongoing. Reviewing a range of policies, statistics and potential scenarios and keeping a watching brief nationally 				
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	<u>Creative & Aware</u> People	<ul style="list-style-type: none"> Leadership development delivered to CMT, Assistant Directors and Service Managers New HR Manager in post. Lead roles within HR developed for Health and Wellbeing and Performance. New People Strategy and action plan developed, approved March 2017 New appraisal system implemented – June 2017 Coaching Programme for CMT, Assistant Directors and Service Managers to be delivered – started August 2017 Volunteering programme rolled out to support people strategy enhance staff wellbeing and corporate social responsibility– CLT in Nov-Dec 2017 	<ul style="list-style-type: none"> Implementation of People Strategy action plan – annual review. Further coaching programme to be made available for team leaders – TB Staff Recognition scheme in progress to be agreed and rolled out August 2018 CMT to evaluate Coaching programme – July 2018 Sickness Clinics to be progressed in areas of concern– June 2018 Registration of Virgin Corporate Global Challenge for staff – May 2018 			Substantial	Improving
7.	Ensure sufficient levels of resilience and	CX	<u>Creative & Aware</u> Projects &	<ul style="list-style-type: none"> BCP Plans in place for critical services New Vision 2020 launched, with associated 3 year 	<ul style="list-style-type: none"> Allocation of further resources of £140k to areas needed further capacity 			Substantial	Static

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	capacity exist in order to deliver key strategic projects within the Council		Major Change	<p>programme, forming basis of service plans and priorities</p> <ul style="list-style-type: none"> • Strategic Projects reported on a quarterly basis to CMT/Exec/PSC • Programme Boards established for key strategic projects. • MTFS 2018-23 allocates resources in line with Vision 2020. • 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 • Regular reporting of other all Strategic Plan schemes • Development of skills and abilities of key leaders and staff through Leadership Development Programme • Appointments have been made and Officers are in post for the two vacant Assistant Directors in Housing & Regeneration • Interim Assistant Director – Strategic Development is in post. • Priority setting for Phase 2 projects, 2018/19 – 2019/20 commenced through CMT and Portfolio Holders • Vision 2020 Phase 2 projects agreed and work allocations within Directorates reviewed 	<ul style="list-style-type: none"> • Service planning 2018/19 ensured capacity exists – April 2018 • Commencement recruitment process for vacant Director of Housing & Regeneration – Autumn 18 (pending below) • Management restructure, consulted upon and approved by Executive – Sept 18 				

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				<ul style="list-style-type: none"> Health and Wellbeing group being set up with staff to support People Strategy – Ongoing 					