![West Lindsey District Council — The Entrepreneurial Council]

GA.65 15/16	**F**
Committee: Governance & Audit	
Date: 14th April 2016	

Subject: Report title – Strategic Risks (April 2016)

Report by: Director of Resources: Ian Knowles

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Purpose / Summary: To present Members with the strategic risks
                              facing the Council as at April 2016

RECOMMENDATION(S): 1. To note and review the strategic risks as presented.

IMPLICATIONS

Legal: None

Financial: FIN/5/17 None

Staffing: None

Equality and Diversity including Human Rights: None

Risk Assessment: None

Climate Related Risks and Opportunities: None

Title and Location of any Background Papers used in the preparation of this report:

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)   **Yes** ☐   **No** ☐

Key Decision:

A matter which affects two or more wards, or has significant financial implications   **Yes** ☐   **No** ☐

1 Introduction

1.1 Strategic Risks are considered as being those faced by the Council that if materialised would affect the delivery of corporate plan priorities.

1.2 Governance and Audit Committee review the strategic risks on a six-monthly basis.

2 Monitoring Arrangements

2.1 The strategic risks are presented to Core Leadership Team (CLT) on a quarterly basis for review.

2.2 CLT are requested to review the risks, control measures and future actions to ensure that they remain sufficiently robust to mitigate the identified risks.

2.3 Where corrective action is required and/or additional risks are identified, the strategic risk register is updated accordingly.

3 Risk Register

3.1 Following the production of the Council's new Corporate Plan covering the period 2016-2020 and the revision of the Council's Risk Strategy, work has been undertaken to assess the risks to the achievement of the Corporate Plan priorities and to identify current mitigations and/or further required action to strengthen the mitigating position.

3.2 This work has produced a revised strategic risk register based upon the following priorities:

- Open for Business
- Asset Management
- People First
- Partnerships/Devolution
- Local Plan
- Excellent Value for Money Services

3.3 A number of additional risks have also been identified which focus on elements that underpin our workings e.g. compliance and business continuity.

3.4 This approach reflects the guidance provided by the Association of Local Authority Risk Managers (ALARM). This body advocates that strategic risks should focus on the long-term objectives of the organisation, which can be affected by areas such as financial concerns, political risks, legal and regulatory changes and changes in the physical environment.

3.5 The risk register is presented for review.

4 Recommendation

4.1 Members are asked to review the register and to consider:

- Do any additional risks of a strategic nature exist?
- Are current controls and proposed actions sufficiently robust?

Risk Type	Title	Allocated To	Description of Potential Risk	Risk Level	Control	Control Measures	Review Date	Actions	Review Period
Strategic	Open for Business	PS	Growth does not match the ambitions of the Council, skills issues are not addressed and analysis and promotion of the visitor economy does not materialise.		Treat	1. Capital Programme in place. 2. Strategic Partnerships formed (GLLEP). 3. LDO's and FEZ in place. 4. Growth Programme developed. 5. Effective Local Plan in development. 6. Growth Board overseeing programme/project development. 7. Progress and Delivery project reporting to Members. 8. Tourism working group in place.	01/07/2016	1. To ensure that all service areas demonstrate behaviours and attitude that support the 'Open for Business' ethos.	Quarterly
Strategic	People First	IK	We do not deliver a customer focussed approach, provide appropriate infrastructure and facilities for residents. We do and do not devlop, equip and support staff to be fully effective in their roles thereby unable to adhere to our customer focussed, entrpreneurial principles, resulting in poor service, non-motivated work force and an unattractive offer for residents and inward investment.		Treat	1. Gainsborough Growth Programme in place. 2. Effective Local Plan in development. 3. People Strategy developed incorporating culture change elements.	01/07/2016	1. Develop out Customer Strategy. 2. Leisure Review to report providing potential options for future service delivery.	Quarterly
Strategic	Asset Management	PS	Our assets are underutilised, generate lower returns than required, do not facilitate inward investment or deliver fewer social benefits than expected.		Treat	1. Strategic Land & Property Plan in place. 2. Commercial Plan in place. 3. Land and Property review undertaken. 4. Asset mgt database (CAMS) in place. 5. Rolling stock condition survey programme developed.	01/10/2016	1. Finalise planned maintenance programme. 2. Ensure appropriate skills/capability and capacity exist within the service.	Six monthly

Strategic	Devolution/Partnerships	MG	Partnership working does not materialise or is not fully effective to support improved service delivery at as local a level as possible and successful commercial partnerships and Joint Ventures are not formed. Devolved powers do not materialise.		Treat	1. Involvement at C/Exec level in devolution discussions and submissions to Govt.	01/07/2016	1. Review of internal governance arrangements. 2. Design and ensure governance arrangements supporting devolved partnerships are robust and effective.	Quarterly
Strategic	Local Plan	MS	Local Plan is not adopted and/or does not reflect or meet the needs of both Gainsborough and the infrastructure, housing and growth priorities for West Lindsey and our intentions re Neighbourhood Plans are not met		Treat	1. Close scrutiny of Local Plan development. 2. Positive assurance in the form of audit findings relating to the process followed at the JPU. 3. LDOs and FEZ arrangements in place.	01/07/2016	1. Ensure effective consultation of draft Local Plan by Summer 2016. 2. Deliver appropriate infrastructure to support Local Plan implementation and delivery.	Quarterly
Strategic	Excellent VfM Services	MS	We do not identify and implement efficient and effective, lower-cost alternative service delivery models. We do not ensure sufficient focus on the financial drivers and value for money considerations of change/improvement proposals.		Treat	1. Functional analysis underway. 2. People Strategy focussing on expected skills and behaviours. 3. Development Management improvement plan underway. 4. Programme/project management methodology and structures in place. 5. Progress & Delivery reporting in place.	01/07/2016	1. Appraise and design new service delivery model. 2. Establish ICT requirements to enable VfM services to be delivered. 3. Implement findings of Choice Based lettings audit. 4. Complete reviews into Localism and Public Protection.	Quarterly
Strategic	Commercial Approach	PS	Commercial Projects do not deliver anticipated benefits resulting in increased financial pressures		Treat	1. Commercial Strategy in place. 2. Commercial steering group (including Members) established. 3. Commercial Programme Board overseeing programme/project development. 4. Progress and Delivery project reporting to Members. 5. Budget Monitoring undertaken.	01/07/2016	1. Ensure appropraiet skills, capacity and structures are in place to deliver commercial initiatives.	Quarterly

Strategic	Corporate Health & Safety	MG	We do not adequately ensure that our staff and visitors are protected in the workplace from accidents or work-related ill-health by eliminating hazards from work activities where possible and where not, assessing and ensuring adequate control of the associated risks. This leads to an unsafe workplace and inadequate care for staff and potential legal action		Treat	1. KMSKMW group in place to consider H&S issues. 2. H&S co-ordinator role in place. 3. H&S Champions across the Council. 4. Regular H&S walks undertaken to identify and report potential hazards in the workplace. 5. Stress management awareness for staff and subscription to CareLine facility. 6. Regularly reviewed service level H&S and lone working risk assessments and protocols in place. 7. Regular H&S council-wide training undertaken. 8. Reporting to CLT on H&S incidents. 9. JSCC considers H&S related matters.	01/10/2016		Six monthly
Strategic	Compliance	IK	We do not comply or fail to correctly implement relevant statutory legislation resulting in adverse reputational impacts and legal and financial consequences.		Treat	1. Horizon Scanning functions undertaken. 2. Monitoring Officer in place. 3. Annual production of Governance Statement. 4. Regular liaison with Lincs Legal Shared Services. 5. Legal implications detailed in reports	01/07/2016		Quarterly
Strategic	Business Continuity	MS	Council services are not maintained and priority services are not provided in the event of significant disruption or a major emergency in the District		Treat	1. Business Continuity Plan in place. 2. Regular training events held. 3. Use of LCC based Emergency Planning Officer. 4. ICT recovery policy and protocols. 5. Service level business continuity plans in place. 6. Out of Hours rota in place.	01/07/2016	1. Review of effectiveness of service level business continuity plans.	Quarterly

| Strategic | Information Governance | IK | Data leakage and successful cyber-crime attempts occur leading to financial, reputational and legal consequences due to lack of robust controls, policies and processes which are not communicated to and followed by staff and Members. | | Treat | 1. Data processing and storage complies with legislation. 2. Data quality is addressed within information policies. 3. Information Security training sessions are regularly held. 4. Data Quality policy in place. 5. Roles of Corporate Information Governance Group (CIGG), Senior Information Risk Owner (SIRO) and Senior Information Governance Officer (SIGO) established. 6. Information Asset Owners in place across the Council. 7. Information Governance Strategy in place. 8. On-going monitoring of developments in this field. | 01/07/2016 | 1. Achieve an appropriate level of understanding and behaviours whereby Information Governance matters become business as usual considerations. | Quarterly |