

**Strategic Risks – January 2019 - Appendix 1**

**Risk Rating Matrix:**

Impact	Critical	4	8	12	16
	Major	3	6	9	12
	Minor	2	4	6	8
	Negligible	1	2	3	4
		Hardly Ever	Possible	Probable	Almost Certain
		Likelihood			

Title	Allocated To	Description of Potential Risk	Risk Level	Control	Control Measures	Review Date	Actions	Review Period
Information Governance	Ian Knowles	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.	High	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 - latest in Feb 2018. 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	30/06/2019	1. Ensure that Information Governance is built into the organisation's culture. 2.. Undertake 'audits' across service areas to test for robustness	Quarterly

					<p>Governance Strategy in place. 8. On-going monitoring of developments in this field. 8. Data Protection Training undertaken across Council in Summer '16 and Spring '17. 9, Paper to GCLT on IG update Feb 2017. 10. PSN Certification achieved (Aug '17). 11.DPO in place and agreed. 12. GDPR Readiness audit - substantial assurance finding. 13. GDPR live date May 2018, implementation completed. 14. Work plan in place to revisit service areas and test strength of Information governance arrangements</p>			
Open for Business	Eve Fawcett-Moralee	The achievement of the growth targets lags behind the local plan. The increase in tax base does not match ambition.	Medium	Treat	<p>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 place. 6 Progress and Delivery project reporting to Members. 8. Tourism working group in place. 6. Recruitment of a professional team has taken place and the appropriate skills and capacity are now available. 7. Professional legal and commercial advice has been procured. 8. Housing Strategy has been adopted. 9. Delivery vehicles established to deliver open for business outcomes.</p>	30/06/2019	<p>1. To ensure that there is an enabling approach in all land based services. 2. Due to the lag in the take up of strategic employment land - a number of incentives need to be established and approved. 3. Due to viability constraints commencement of SUEs has been delayed. Therefore HIF grant and the development partnership will be</p>	Quarterly

							utilised to progress this matter	
People First	Mark Sturgess	<p>Customer - We do not deliver a customer focused approach, provide appropriate infrastructure and facilities for residents and businesses.</p> <p>Community &amp; Residents - We do not provide leadership of place for our communities and residents to ensure their well-being isn't adversely affected.</p> <p>Workforce - We do not develop, equip and support staff to be fully effective in their roles thereby unable to adhere to our customer focused, entrepreneurial principles, resulting in poor service, non-motivated work force and providing an unattractive offer both for residents</p>	Medium	Treat	<p>1. Gainsborough Growth Programme in place. 2. Effective Local Plan agreed and now in implementation and monitoring stage. 3. People Strategy developed incorporating culture change elements. 4. Active lead role played in Health &amp; Well-being and Skills agendas. 5. C&amp;I Committee review into youth unemployment with formal support provided for West Lindsey Employment &amp; Skills Partnership. 6. Oct 2017 self-assessment carried out to demonstrate compliance with S11 of the Children Act 2004 as required by Safeguarding Children Board. Awaiting moderation. Effective compliance and good practice across most areas, with one area in need of development; complaints policy. 7. Customer First programme initiated with Board in place; vision and strategy defined, delivery phasing and outline delivery plans in place. 8. Leisure review completed. 9. Revised customer complaints policy and process implemented.</p>	30/06/2019	1. Deliver the customer first programme via detailed delivery plans.	Quarterly

		and inward investment.						
Asset Management	Eve Fawcett-Moralee	Our assets are underutilised, generate lower returns than required, do not facilitate inward investment or deliver fewer social benefits than expected.	Medium	Treat	1. Strategic Land & Property Plan in place. 2. Business Plan in place providing assurance on resourcing and implementation. 3. Land and Property review undertaken. 4. Asset mgt database (CAMS) in place and fully utilised. 5. Rolling stock condition survey programme implemented. 6. Planned maintenance programme being worked to. 7 Managed by programme board. 8. Appraisal matrix developed to support commercial property investment decisions. 8 Key recruitment has taken place to give appropriate capability and capacity	30/06/2019	2. Post Grenfell - need to complete a compliance audit of LA assets and therefore ensure that sufficient safeguards and protections are in place.	Six-Monthly

Partnerships	Ian Knowles	Partnerships - We do not fulfil our role as influencer, shaper and co-ordinator of major economic, social and environmental issues that affect the District.  Partnerships - Our delivery vehicles for shared estates or trading companies do not effectively deliver against their intended purpose and achieve VfM.	Medium	Treat	1. Management Team review of strategic partnerships to assess their effectiveness and on-going relevance. 2 ACOP in place to support consistent approach to partnership working. 3. Review of partnerships completed and recommendations made to Mgt Team/CPR to ensure on-going assessment of effectiveness of partnership arrangements.	30/06/2019	1. Review and report on the Governance of major projects and commercial activity 2. Relevant terms of references are revisited regularly and reported on to management team and Governance and Audit Committee. 3. Update partnership ACoP.	Quarterly
Excellent VfM Services	Mark Sturgess	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. We do not use effective benchmarking data to inform VfM decisions and failure of	Medium	Treat	1. Functional analysis completed and results analysed to provide an internal benchmark. 2. People Strategy focusing on expected skills and behaviours. 3. Development Management improvement plan complete. 4. Programme/project management methodology and structures in place. 5. Progress & Delivery reporting in place. 6. Localism restructure implemented providing refreshed focus on the service. 7. VfM Handbook devised for staff and presentation to SLT. 8.	30/06/2019	1. Appraise and design new service delivery model within Customer First Programme. 2. Establish ICT requirements to enable VfM services to be delivered. 3. Work through VfM work plan	Six-Monthly

		partnership mechanisms to deliver VfM considerations.			Annual Business Planning exercise undertaken to drive efficiencies and improvements 9. Reviews of both function and structure undertaken across a number of services - enforcement, property and assets, economic development and housing. 9. Service improvement plans have delivered improved performance in development management and local land charges. 10. VfM report to CPR and work plan devised to strengthen all elements pertaining to VfM.			
Commercial Approach	Ian Knowles	Commercial Projects do not deliver anticipated benefits resulting in increased financial pressures	High	Treat	1. Commercial Strategy forms business plan. 2. Commercial steering group (including Members) established. 3. Programme Board has oversight of high risk commercial programmes and investments. 4. Capital Programme oversight and Progress and Delivery project reporting to Members. 5. Budget Monitoring undertaken, including Trading Statements. 6. Substantial assurance audit finding (Oct 2016) re Traded Services. 7. Creation of Trading and Operational Services Manager to provide capacity & capability now forms role of Strategic Manager Services. 8. Annual Business Planning	30/06/2019	1. Ensure appropriate skills, capacity and structures are in place to deliver commercial initiatives. 2. Ensure governance arrangements are reviewed and remain robust.	Quarterly

					exercise designed to identify commercial opportunities across service areas. 9. Findings of Commercial Plan audit responded to.			
Corporate Health & Safety	Mark Sturgess	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	Medium	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 Mgt Team/JSCC on H&S incidents. 9. JSCC considers H&S related matters. 10. Dignity at Work training undertaken in Nov '16. 11. Programme of H&S associated training developed.	30/06/2019		Six-Monthly
Compliance	Ian Knowles	We do not comply, or fail to correctly implement relevant, statutory legislation resulting in adverse reputational impacts and legal and	Medium	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. 6. Review	30/06/2019	1. Undertake review of Horizon Scanning function to ensure it provides management team with quality information and strategic oversight to inform resource	Quarterly

		financial consequences.			undertaken of CIPFA Delivering Good Governance guidance and reference made in WLDC Constitution. 7. Appropriate legal agreements in place to oversee governance and operations of Council's partnerships/joint venture and commercial arrangements.		prioritisation and allocation.	
Business Continuity	Mark Sturgess	Council services are not maintained and priority services are not provided in the event of significant disruption or a major emergency in the District.	Medium	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. 7. WLDC access to Resilience Direct website and resources. 8. WLDC involved in major incident scenario - Spring 2018.	30/06/2019	1. Review of effectiveness of service level business continuity plans.	Quarterly