

Risk Ref: Our People 1		Risk Owner: Eve Fawcett-Moralee		Date: 25.09.2019	
Description of Strategic Risk: Health and wellbeing of the District's residents does not improve.					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
<ul style="list-style-type: none"> 1. Failure of leisure contract 2. Outreach service is ineffective 3. Wellbeing service does not achieve outcomes 4. Health Partnership is ineffective 	<ul style="list-style-type: none"> 1. Increased burden on frontline services 2. Reduced life expectancy and health for residents 3. Less economically active residents 4. Adverse economic impact on district 5. Council Tax support costs increase 6. Potential impact on the on-going viability of leisure services 	<ul style="list-style-type: none"> 1. Leisure Contract monitoring 2. Wellbeing service in place with clear objectives and PIs covering H&W 3. WLDC Board representation 4. Health Partnership with terms of reference and work plan 5. Active membership of County Wide Health Scrutiny Panel 	3	3	Current Score 9:
					Target Score: 6
			Commentary: Key aspect to support this risk is the development of a Wellbeing Strategy		
Actions for Improvement			Completion Date	Officer	Risk Review Date
Health partnership is under review - need to develop a Wellbeing Strategy			June 2020	AD Housing and Wellbeing	28/02/2020

Risk Ref: Our People 2		Risk Owner: Eve Fawcett-Moralee		Date: 25.09.2019	
Description of Strategic Risk: Inadequate support is provided for vulnerable groups and communities					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
<ol style="list-style-type: none"> 1. Lack of strategic focus on relevant matters with LCC. 2. Inability to identify and reach vulnerable groups. 3. Insufficient/inaccurate data analysis to establish need. 4. Lack of engagement with and from vulnerable groups. 	<ol style="list-style-type: none"> 1. Cycle of dependency is perpetuated. 2. Demand pressures on services and resources. 3. Rural Isolation and increase in rural poverty. 4. Increased demand on formal/informal support networks. 5. Inability of communities to reach self-sufficiency. 	<ol style="list-style-type: none"> 1. Innovation re service provision 2. Selective licensing scheme operating 3. Support for residents of Hemswell Cliff and Scampton Action Group established 4. Data research and analysis expertise in place. 5. Safeguarding policies and procedures operating. 6. Wide-range of enforcement tools. 7. Effective multi-agency partnership working. 	3	3	Current Score: 9
					Target Score: 6
Commentary: Audit into this area currently underway. Due to report December 2019.					
Actions for Improvement		Completion Date	Officer	Risk Review Date	
Produce a baseline of district demography and cross-reference data		underway	EK	28/02/2020	
Produce detailed understanding of housing need (for Gainsborough only)		underway	DK		
Build on success of Alchemy event and secure access foundation award		2 nd bid 30.10.19	EFM/GW		
Gainsborough South West Ward and Hemswell strategies		Dec 19 committee	GW/DK		
Financial assistance and poverty reduction schemes to be implemented		Not in the work programme yet			

Risk Ref: Our People 3		Risk Owner: Eve – Fawcett-Moralee		Date: 25.09.2019	
Description of Strategic Risk: Inability to raise local educational attainment and skills levels					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
<ol style="list-style-type: none"> 1. Poor teaching standards. 2. Lack of stability within schools. 3. Lack of appropriate role-modelling to raise aspirations. 4. Insufficient out-of-school support or mentoring. 5. Failure to address issues relating to Gainsborough in particular. 	<ol style="list-style-type: none"> 1. Adverse effect on the career/further education opportunities of young people. 2. Inability of local job market to meet recruitment needs of employers. 3. Wage profile of the economy does not rise. 4. Poorer life chances for young people. 5. Increased welfare dependency and rise in vulnerable groups. 6. Viability of education and skills providers threatened. 	<ol style="list-style-type: none"> 1. Mentoring Scheme in place with local schools 2. Made in Gainsborough apprenticeship scheme established 3. West Lindsey Employment & Skills Partnership operating in line with approved strategy and delivery plan. 	4	3	Current Score: 12
					Target Score: 9
			<p>Commentary: On-going work on the part of the WLESP is a major contributory factor. Effective lobbying on related issues is essential.</p>		
Actions for Improvement			Completion Date	Officer	Risk Review Date
Measure effectiveness of existing actions and draw learning			On-going	AB	28/02/2020
Deliver against West Lindsey Employment & Skills Strategy and Delivery Plan.			On-going	AB	
Consider role WLDC as an employer can play in further supporting this agenda.			Ongoing via Board	AB	

Risk Ref: Our Place 1		Risk Owner: Eve Fawcett-Moralee		Date: 29.09.2019	
Description of Strategic Risk: The local economy does not grow sufficiently					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
<ul style="list-style-type: none"> 1. Slow take-up of strategic employment land. 2. Ineffective marketing of the District to attract inward investment. 3. Loss of a major employer(s) 4. Workforce skills do not match needs of employers. 	<ul style="list-style-type: none"> 1. GVA does not grow. 2. Adverse effect on new job creation and upskilling of workforce. 3. Migration of skilled/educated workers out of the District. 4. Impinges on population growth ambitions. 	<ul style="list-style-type: none"> 1. NNDR Policy established. 2. EIA impact assessments undertaken. 3. Grant funding for FEZ in place? 4. On-going promotion via Invest Gainsborough and Discover Gainsborough brands. 5. Made in Gainsborough apprenticeship scheme in place. 6. Development Partner appointed. 	3	3	Current Score: 9
					Target Score: 6
			Commentary: The Council must influence the shape of key regional strategies and the workings of the GLLEP to ensure the District's growth ambitions and needs are fully reflected.		
Actions for Improvement			Completion Date	Officer	Risk Review Date
Planning for Growth initiative with Greater Lincs			Bid submission Oct 19	EFM	28/02/2020
Review of planning policies in general and the review of the Local Plan in particular			Sept 2020	RH	

Risk Ref: Our Place 2		Risk Owner: Eve Fawcett-Moralee		Date: 25.09.2019	
Description of Strategic Risk: The local housing market and the Council's housing related services do not meet demand					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
<ol style="list-style-type: none"> 1. Housing developers do not build in the District. 2. Lack of suitable development land. 3. Lack of intelligence on housing need/demand. 4. New properties do not match need/demand of local housing market. 5. Existing housing stock is in poor condition. 6. Empty properties not brought back into use. 7. Housing service does not have capacity or skills to meet customer needs and demands. 8. Lack of Council strategic direction and understanding of statutory functions and associated tasks. 9. Information systems do not support efficient service delivery. 	<ol style="list-style-type: none"> 1. Deterioration in condition of existing housing stock. 2. Increase in number of empty properties. 3. Increased homelessness and overcrowding. 4. Increase in numbers of vulnerable residents. 5. Increased pressure on housing services. 6. Lack of growth across District. 	<ol style="list-style-type: none"> 1. CLLP in progress and review underway. 2. Housing Strategy approved. 3. New IT system operating in Home Choices service. 4. Development Partner appointed. 5. Selective Licensing Scheme implemented. 6. Housing & environmental health enforcement action taken. 7. Housing Assistance (financial) Policy. 	3	3	Current Score: 9
					Target Score: 6
			Commentary: Actions in Housing Strategy are enablers to mitigate against the risk.		
Actions for Improvement			Completion Date	Officer	Risk Review Date
Review the need for strategic capacity within the service			01/04/2020	EFM	28/02/2020

Risk Ref: Our Place 3		Risk Owner: Ian Knowles		Date: 25.09.2019	
Description of Strategic Risk: Insufficient action taken to create a cleaner and safer district					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
<ol style="list-style-type: none"> 1. Lack of robust enforcement policies. 2. Lack of capacity to respond effectively to service demand. 3. Ineffective messages about social responsibility. 4. Ineffective partnership working arrangements. 5. Inability to effectively implement new legislation. 6. Unexpected outbreak of environmental or health related issue. 	<ol style="list-style-type: none"> 1. Residents of the District feel unsafe. 2. Rise in number of crime and enforcement related incidents. 3. Reputational damage. 4. Increase in no. of complaints. 5. Increased threat of illness/harm to residents. 6. Adverse effect on natural wildlife habitats and bio-diversity. 7. Demand pressures on front-line services. 	<ol style="list-style-type: none"> 1. Award winning Waste Collection and Street Cleaning Service. 2. Trade Waste service provided. 3. Enforcement policies operating to oversee all relevant areas. 4. CCTV operations in place. 5. Press/media coverage of successful prosecutions and enforcement cases. 6. Adequate officer capacity deployed to cover enforcement matters. 	2	4	Current Score: 8
					Target Score: 4
			Commentary: Plans for a single depot will support the continuing success of the waste service.		
Actions for Improvement			Completion Date	Officer	Risk Review Date
Review of available technology to support enforcement action.			31/03/2020	AG	28/02/2020
Ensure permanent resource is in place to prevent enviro crime			31/12/2019	AG	

Risk Ref: Our Council 1		Risk Owner: Ian Knowles		Date: 25.09.2019	
Description of Strategic Risk: Inability to set a sustainable balanced budget					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
<ol style="list-style-type: none"> 1. Commercial ventures do not realise expected financial gains. 2. Government funding arrangements do not match estimates used in financial modelling. 3. Outcomes of: Business Rates Review; Farer Funding Review; Comprehensive Spending Review; expected savings, efficiency or income initiatives do not deliver expected benefits. 4. Cessation of grant/match-funding streams. 5. Growth forecasts for District are not realised. 6. Unanticipated rise in demand for services. 7. Invest Gainsborough does not deliver. 	<ol style="list-style-type: none"> 1. Case for Gainsborough is not made (Place make). 2. Cuts or reductions in services. 3. Staff redundancies. 4. Inability to deliver Corporate Plan priorities. 5. Growth of the District stagnates. 6. Reputational damage. 	<ol style="list-style-type: none"> 1. MTFP in place. 2. Successful commercial trading and investment programme. 3. Annual business planning. 4. Regular budget monitoring. 5. Identification and use of grant-funding opportunities. 6. Value for Money Strategy adopted. 7. Lobbying strategy. 8. Regular review of the commercial property portfolio. 9. Volatility reserves maintained. 	2	4	Current Score: 8
					Target Score: 8
			<p>Commentary: Close monitoring of the current spending profile; good performance mgt and benchmarking coupled with progressive service planning will support the minimisation of this risk.</p>		

8. Schemes for other market towns do not materialise. 9. Business planning is not robust.			
Actions for Improvement		Completion Date	Officer
Business Plan for Crematorium to be reviewed/refreshed		31/11/2019	IK
Financial resilience to be assessed		31/03/2020	TB

Risk Review Date

31/03/2020

Risk Ref: Our Council 2		Risk Owner: Ian Knowles		Date: 25.09.2019	
Description of Strategic Risk: The quality of services do not meet customer expectations					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
<ol style="list-style-type: none"> 1. Poorly trained staff. 2. Systems and processes do not adequately support service delivery. 3. Resources available do not match demands on services. 4. Higher than expected customer expectations. 5. Insufficient attention paid to customer feedback. 	<ol style="list-style-type: none"> 1. Rise in number of complaints. 2. Reputational damage. 3. Financial loss – compensation costs and income reductions. 4. Reduction in market share of traded services. 5. Ineffective support for vulnerable customers. 	<ol style="list-style-type: none"> 1. Procedure in place to receive customer feedback; including complaints. 2. Customer Experience Officer appointed. 3. Training and development plans for officers. 4. Performance measures in place/monitored and reported. 5. Customer First Programme in development. 	2	4	Current Score: 8
					Target Score: 4
			<p>Commentary: The Customer First programme is designed to put the customer at the centre of every service and will help to mitigate this risk.</p>		
Actions for Improvement			Completion Date	Officer	Risk Review Date
Promote and generate better use of technology			On-going	MC	31/03/2020
Maximise self-service opportunities			On-going	MC	
Implement training programme for key staff			31/03/2020	MC	
Undertake service reviews via Customer First Programme			31/03/2020	MC	

Risk Ref: Our Council 3		Risk Owner: Ian Knowles		Date: 25.09.2019	
Description of Strategic Risk: Inability for the Council's governance to support quality decision making					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
<ul style="list-style-type: none"> 1. Ineffective governance framework. 2. Poorly trained Members. 3. Out of date Council Constitution. 4. Ambiguity around the ambitions of the Council. 	<ul style="list-style-type: none"> 1. Inefficient use of resources. 2. Reputational loss. 3. Rise in no. of Standard Complaints. 4. Judicial Reviews. 5. Delay in delivery/cancellation of key Council projects. 6. Poor rating from Internal/External for governance arrangements. 7. Poor Staff/Member working relationships and low morale. 8. Loss of opportunities. 	<ul style="list-style-type: none"> 1. Member training and development programme in place. 2. Member/Officer protocols established. 3. Annual review of the Council's Constitution. 4. Members' Code of Conduct in place. 5. Robust corporate governance framework. 6. Annual schedule of audits and internal/external audit oversight. 7. Corporate Plan 2019-2023 approved. 8. Programme Boards operating to oversee project development. 9. Annual Governance Statement produced. 	2	4	Current Score: 8
					Target Score: 8
<p>Commentary: Ensuring that all decisions are evidenced based and robust governance will continue to minimise the likelihood of this risk.</p>					
Actions for Improvement			Completion Date	Officer	Risk Review Date
Implement actions from the Governance Review – Culture & Values			30/06/2020	AR	31/03/2020
Hold Peer Review – Jan 2020			31/03/2020	IK	

Risk Ref: Overarching Risk 1		Risk Owner: Ian Knowles		Date: 25.09.2019	
Description of Strategic Risk: Inability to maintain critical services and deal with emergency events					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
<ol style="list-style-type: none"> 1. Loss/failure of critical systems. 2. Inadequate response to incident or emergency. 3. Lack of, or ineffective, partnership working. 4. Lack of emergency planning or disaster recovery arrangements. 5. Ineffective communication arrangements. 6. Inadequate response to Brexit related issues 	<ol style="list-style-type: none"> 1. Inability to deliver critical/key services. 2. Increased risk of harm to vulnerable customers. 3. Financial loss. 4. Reputational damage. 	<ol style="list-style-type: none"> 1. Robust infrastructure and back-up arrangements. 2. Package of information security incident policies and procedures. 3. IT Disaster Recovery Plan. 4. Emergency planning and business continuity arrangements. 5. Membership of LRF Partnership. 6. Regular training for Strategic and Tactical Commanders 7. Specific Brexit related planning meetings held. 	2	4	Current Score: 8
					Target Score: 8
			Commentary: Effective business continuity and emergency planning responses are in place. More frequent testing will be a key priority.		
Actions for Improvement			Completion Date	Officer	Risk Review Date
Draw up schedule of testing of relevant internal plans			31/03/2020	IK	31/03/2020

Risk Ref: Overarching Risk 2		Risk Owner: Ian Knowles		Date: 25.09.2019	
Description of Strategic Risk: Failure to comply with legislation including Health and Safety matters					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
<ol style="list-style-type: none"> 1. Breach of legislation. 2. Failure to seek or follow legal advice. 3. Complaint from external organisation or member of public. 4. Whistleblowing report. 5. Increase of reportable incidents in specific work areas or activities. 6. Increase of insurance claims. 7. Accidents not reported or investigated. 8. Increase absence rates or other work related absences. 9. Non-compliance with primary legislation or Council policies. 10. Project work not planned effectively to control H&S risk. 11. Managers and employees not effectively trained in H&S matters. 	<ol style="list-style-type: none"> 1. Reputational damage. 2. Financial loss. 3. Judicial Review. 4. Prosecution for H&S related incidents. 5. Employees injured through work activity. 6. Increased insurance claims and insurance premiums. 7. Member of public, contractor or employee killed at work, possible corporate manslaughter action. 8. Staff sickness rates increase due to lack of compliance with good H&S practice. 9. Increased employer/employee litigation through inconsistent approach to managing H&S in the workplace. 10. Unable to defend H&S claims or disputes. 	<ol style="list-style-type: none"> 1. Corporate H&S Officer in place. 2. H&S Champions across the Council. 3. General H&S training provided. Service specific H&S training and safe working procedures including lone working. 4. H&S incident reporting arrangements. 5. Service level H&S risk assessments undertaken and regular H&S walks undertaken to identify hazards. 6. Reporting to Mgt Team/JSCC on H&S incidents. 7. Regular H&S and stress mgt training for all staff. 8. Council subscription to Employee Assistance Programme for staff. 9. Regular inspections of property, including car 	2	4	Current Score: 8
					Target Score: 8
<p>Commentary: This risk is fully mitigated at present with a range of current controls in place.</p>					

<p>12. Absence of robust H&S monitoring and recording system.</p> <p>13. Fire Risk Assessments not current and reviewed by Managers.</p>		<p>parks. Pro-active maintenance programme.</p> <p>10. Early resolution of reported defects.</p> <p>11. Public Liability and Employers Liability insurance in place.</p> <p>12. Legislative implications included on all reports.</p> <p>13. Compliance with current legislation and best practice.</p> <p>14. Membership and use of Legal Services Lincolnshire.</p>		
<p>Actions for Improvement</p>		<p>Completion Date</p>	<p>Officer</p>	<p>Risk Review Date</p>
<p>Approve & deliver new Waste Services depot to provide safe working environment</p>		<p>31/03/2021</p>	<p>AS</p>	<p>31/03/2020</p>

Risk Ref: Overarching Risk 3		Risk Owner: Ian Knowles		Date: 25.09.2019	
Description of Strategic Risk: ICT Security and Information Governance arrangements are ineffective					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
<ul style="list-style-type: none"> 1. Significant data breach or loss of data. 2. Successful cyber security incident. 3. Lack of staff awareness or training. 4. Inadequate infrastructure or ICT security arrangements. 5. Lack of or inadequate policies and guidance 	<ul style="list-style-type: none"> 1. Significant adverse impact on service delivery. 2. Financial loss/fines imposed by ICO. 3. Potential ransom demands for release of data. 4. Reputational damage. 5. Loss of personal and business related data. 	<ul style="list-style-type: none"> 1. Robust ICT security systems in place. 2. PSN accreditation. 3. Up to date infrastructure and back-up arrangements. 4. Business continuity arrangements established. 5. Relevant policies covering ICT usage and information security. 6. Data Protection Officer and Senior Information Risk Owner roles in place. 7. On-going training and awareness for staff. 8. Process in place for the reporting and investigation of data breaches and learning loop applied. 	3	4	Current Score: 12
					Target Score: 8
			<p>Commentary: Continuous monitoring of officer training and promotion of incident reporting will further mitigate against this risk.</p>		
Actions for Improvement		Completion Date	Officer	Risk Review Date	
Deliver against 10 year infrastructure development plan		On-going development	CD	31/03/2020	

