

Risk Ref: Our Council	Risk Owner: Tracey Bircumshaw	Date: 09/12/2020			
Description of Strategic Risk: Inability to set a sustainable balanced budget					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
<p>1. Commercial ventures do not realise expected financial gains.</p> <p>2. Government funding arrangements do not match estimates used in financial modelling.</p> <p>3. Outcomes of: Business Rates Review; Fairer Funding Review; Comprehensive Spending Review; expected savings, efficiency or income initiatives do not deliver expected benefits.</p> <p>4. Cessation of grant/match-funding streams.</p> <p>5. Growth forecasts for District are not realised.</p> <p>6. Unanticipated rise in demand for services.</p> <p>7. Invest Gainsborough does not deliver.</p> <p>8. Schemes for other market towns do not materialise.</p> <p>9. Business planning is not robust.</p>	<p>1. Case for Gainsborough is not made (Place make).</p> <p>2. Cuts or reductions in services.</p> <p>3. Staff redundancies.</p> <p>4. Inability to deliver Corporate Plan priorities.</p> <p>5. Growth of the District stagnates.</p> <p>6. Reputational damage.</p>	<p>1. MTFP in place.</p> <p>2. Successful commercial trading and investment programme.</p> <p>3. Annual business planning.</p> <p>4. Regular budget monitoring.</p> <p>5. Identification and use of grant-funding opportunities.</p> <p>6. Value for Money Strategy adopted.</p> <p>7. Lobbying strategy.</p> <p>8. Regular review of the commercial property portfolio.</p> <p>9. Volatility and risk reserves maintained.</p> <p>10. Resilience indicators developed and monitored.</p> <p>11. Working Balance minimum set at £2.5m</p> <p>12. Commercial risk indicators set</p>	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. Peer Review findings: .. "sound financial management, robust control and successful implementation of commercial plan." Impact of Covid19 on MTFP assessed and understood</p>					

10. Ongoing financial impacts of Covid-19				
Actions for Improvement		Completion Date	Officer	Next Risk Review Date
				31/10/2021

Risk Ref: Our Council	Risk Owner: Ady Selby	Date: 09/12/2020			
Description of Strategic Risk: The quality of services do not meet customer expectations					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
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.	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.	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. T24 Programme in development. 6. Service redesigns underway. 7. New Customer Relationship Management (CRM) technology being implemented 8 Robust performance mgt in place 9. Benchmarking processes in place. 10. Dedicated corporate training budget	2	3	Current Score: 6
					Target Score: 4
					Commentary: The T24 programme is designed to put the customer at the centre of every service and will help to mitigate this risk. Technology led service reviews in all service areas will address resilience and capacity issues

Actions for Improvement	Completion Date	Officer	Next Risk Review Date
Implement CRM and ERP systems	31/12/2021	Alan Robinson	30/06/2021
Continual development of P&D reporting	31/12/2021	Ady Selby	

Risk Ref: Our Council	Risk Owner: Alan Robinson	Date: 09/12/2020			
Description of Strategic Risk: Inability for the Council's governance to support quality decision making					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
1. Ineffective governance framework. 2. Poorly trained Members. 3. Out of date Council Constitution. 4. Ambiguity around the ambitions of the Council	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.	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	3	Current Score: 6
					Target Score: 6
Commentary: Ensuring that all decisions are evidenced based and robust governance will continue to minimise the likelihood of this risk. Peer Review findings noted that corporate governance and Member/Officer relations were effective. High assurance received from internal audit on the Good Governance Follow up audits All actions from the initial good governance audit completed. G&A Cttee have undertaken an effectiveness survey.					
Actions for Improvement		Completion Date	Officer	Next Risk Review Date	

G&A Cttee to work on action plan following survey	31/03/2021	Alan Robinson	30/06/2021
Review of report writing with a focus on recommendations to be completed	31/01/2021	Alan Robinson	

Risk Ref: Our People	Risk Owner: Diane Krochmal	Date: 09/12/2020			
Description of Strategic Risk: Inability to raise local educational attainment and skills levels					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
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.	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.	1. Made in Gainsborough apprenticeship scheme established 2. West Lindsey Employment & Skills Partnership operating in line with approved strategy and delivery plan. 3. Supporting work experience for young people	3	3	Current Score: 9
					Target Score: 9
					Commentary: On-going work on the part of the WLESP is a major contributory factor. Keeping abreast of skills and employment initiatives launched on the back of Covid19 and the Green Recovery. Awaiting results of audit into this area of work.
Actions for Improvement		Completion Date	Officer		Next Risk Review Date
Measure effectiveness of existing actions and draw learning		28/02/2021	Amanda Bouttell		31/03/2021
Deliver against West Lindsey Employment & Skills Strategy and Delivery Plan.		28/02/2021	Amanda Bouttell		

Development of redundancy support programme to form part of WLESP delivery plan	01/12/2021	Amanda Bouttell	
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Risk Ref: Our People	Risk Owner: Diane Krochmal	Date: 09/12/2020			
Description of Strategic Risk: Inadequate support is provided for vulnerable groups and communities					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
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.	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.	1. Innovation re service provision 2. Selective licensing scheme operating 3. Focused 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. 8. New Communities at Risk Strategy in place 9. Recent audit actions completed/underway 10. Housing Board have oversight 11. Contextual Safeguarding principles in operation	3	3	Current Score: 9
					Target Score: 6
Commentary: Audit report completed and actions completion in progress. Further developemnt of Alchemy partnership initiative with funding awarded - major links to heath and wellbeing.					

Actions for Improvement	Completion Date	Officer	Next Risk Review Date
P3 project to launch to assist vulnerable communities and also improve local housing stock	30/07/2021	Diane Krochmal	31/03/2021

Risk Ref: Our People	Risk Owner: Diane Krochmal	Date: 09/12/2020			
Description of Strategic Risk: Health and wellbeing of the District's residents does not improve.					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
1. Failure of leisure contract 2. Outreach service is ineffective 3. Wellbeing service does not achieve outcomes	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	1. Leisure Contract monitoring 2. Wellbeing service in place with clear objectives. 3. WLDC Wellbeing Lincs Management Board representation 4. Active membership of County Wide Health Scrutiny Panel 5. West Lindsey representation on Housing, Health and Care delivery group	3	3	Current Score: 9
					Target Score: 6
			Commentary: Work is underway to develop a homes and communities strategy to address wellbeing and health inequalities. Homes and Communities Assistant Director is in place. Responsibility for the success of the leisure contract lies with AR/AS.		
Actions for Improvement		Completion Date	Officer		Next Risk Review Date
To implement a new business area for Homes and Communities and recruit to the required structure.		30/06/2021	Diane Krochmal		30/06/2021
Review the need for a Strategic Health Partnership.		31/12/2021	Diane Krochmal		

Risk Ref: Our Place	Risk Owner: Ady Selby	Date: 09/12/2020			
Description of Strategic Risk: Insufficient action taken to create a cleaner and safer district					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
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.	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.	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. 7. Educating school children in recycling and sustainability. 8 Covid19 protocols in place and adhered to and key messages communicated across the District	2	3	Current Score: 6
					Target Score: 4
			Commentary: Plans for a single depot will support the continuing success of the waste service. Council agreement to fund work with schools to promote environmental and sustainability issues. Enforcement and environment teams now fully resourced. Member Working Group established to produce an Environment and Sustainability Strategy. All guidance relating to Covid19 implemented.		
Actions for Improvement		Completion Date	Officer		Next Risk Review Date

Produce Environment and Sustainability Strategy	31/05/2021	James O'Shaughnessy	31/05/2021
Build and opening of new waste depot	01/01/2022	Ady Selby	
Implement schools educational programme re recycling etc	01/11/2022	Steve Leary	

Risk Ref: Our Place	Risk Owner: Diane Krochmal	Date: 09/12/2020			
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"> <li>1. Housing developers do not build in the District.</li> <li>2. Lack of suitable development land.</li> <li>3. Lack of intelligence on housing need/demand.</li> <li>4. New properties do not match need/demand of local housing market.</li> <li>5. Existing housing stock is in poor condition.</li> <li>6. Empty properties not brought back into use.</li> <li>7. Lack of Council strategic direction and understanding of statutory functions and associated tasks.</li> </ol>	<ol style="list-style-type: none"> <li>1. Deterioration in condition of existing housing stock.</li> <li>2. Increase in number of empty properties.</li> <li>3. Increased homelessness and overcrowding.</li> <li>4. Increase in numbers of vulnerable residents.</li> <li>5. Increased pressure on housing services.</li> <li>6. Lack of growth across District.</li> </ol>	<ol style="list-style-type: none"> <li>1. CLLP in place and review underway.</li> <li>2. Housing Strategy approved.</li> <li>3. New IT system operating in Home Choices service.</li> <li>4. Development Partner appointed.</li> <li>5. Selective Licensing Scheme implemented.</li> <li>6. Housing &amp; environmental health enforcement action taken.</li> <li>7. Housing Assistance (financial) Policy.</li> <li>8. Viable housing solution in development</li> </ol>	3	3	Current Score: 9
					Target Score: 6
<p>Commentary: Housing Strategy enablers to mitigate against the risk.</p>					
Actions for Improvement		Completion Date	Officer		Next Risk Review Date
Review the need for strategic capacity within the service		30/06/2021	Diane Krochmal		30/06/2021
Development of a Homes and Community Strategy		31/12/2021	Diane Krochmal		

Risk Ref: Our Place	Risk Owner: Sally Grindrod-Smith	Date: 09/12/2020			
Description of Strategic Risk: The local economy does not grow sufficiently					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
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. 5. Impact of Covid19 and lockdown on local economy	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. 5. Closure of businesses across the District	1. NNDR Policy established. 2. EIA impact assessments undertaken. 3. On-going promotion via Invest Gainsborough and Discover Gainsborough brands. 4. Made in Gainsborough apprenticeship scheme in place. 5. Development Partner appointed. 6. Efficient promotion and delivery of grant aid to businesses across the District 7. Launch of Townscape Heritage Initiative	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. The Council has distributed over £17m grant aid to businesses across the District. Townscape Heritage Initiative launched - £1.96m. Plans for new cinema approved.					
Actions for Improvement		Completion Date	Officer		Next Risk Review Date
Planning for Growth initiative with Greater Lincs		31/07/2021	Sally Grindrod-Smith		31/03/2021

Review of planning policies in general and the review of the Local Plan in particular	30/06/2021	Sally Grindrod-Smith	
Maintain watching brief on further support for businesses and ensure capacity in place to deliver effectively	30/06/2021	Sally Grindrod-Smith	

Risk Ref: Overarching Risk	Risk Owner: Alan Robinson	Date: 09/12/2020			
Description of Strategic Risk: ICT Security and Information Governance arrangements are ineffective					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
<ol style="list-style-type: none"> <li>1. Significant data breach or loss of data.</li> <li>2. Successful cyber security incident.</li> <li>3. Lack of staff awareness or training.</li> <li>4. Inadequate infrastructure or ICT security arrangements.</li> <li>5. Lack of or inadequate policies and guidance</li> <li>6. Contracts/sharing agreements with data processors/controllers that do not ensure clauses allowing movement of data to a third country.</li> </ol>	<ol style="list-style-type: none"> <li>1. Significant adverse impact on service delivery.</li> <li>2. Financial loss/fines imposed by ICO.</li> <li>3. Potential ransom demands for release of data.</li> <li>4. Reputational damage.</li> <li>5. Loss of personal and business related data.</li> </ol>	<ol style="list-style-type: none"> <li>1. Robust ICT security systems in place.</li> <li>2. PSN accreditation.</li> <li>3. Up to date infrastructure and back-up arrangements.</li> <li>4. Business continuity arrangements established.</li> <li>5. Relevant policies covering ICT usage and information security.</li> <li>6. Data Protection Officer and Senior Information Risk Owner roles in place.</li> <li>7. On-going training and awareness for staff; re-inforced as a result of Covid19 and home working arrangements</li> <li>8. Process in place for the reporting and investigation of data breaches and learning loop applied.</li> <li>9. PCIDSS compliance</li> </ol>	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. The role of Senior Information Risk Owner has been reallocated to the Director of Corporate Services. SIRO attended SIRO training in October 2020. Recent cyber-security audit gave substantial assurance. In present circumstances the need for extra vigilance is regularly relayed to staff. Brexit arrangements may impact upon the Council's ability to access data of data processors/controllers that are storing data in the EU. Standard contractual clauses are being inserted into all relevant contracts and agreements. Awaiting EU confirmation of adequacy on the part of UK to meet EU GDPR standards.</p>					

		<p>10. Rolling programme of audits</p> <p>11. Ensuring standard contractual clauses are in place with data processors/controllers who hold data outside of UK.</p> <p>12. Insurance in place to cover costs of recovery from ICT failure/cyber attack.</p>		
Actions for Improvement		Completion Date	Officer	Next Risk Review Date
Deliver against 10 year infrastructure development plan		31/03/2021	Cliff Dean	31/03/2021
Ensure the timely implementation of the succession plan for the Data Protection officer and ensure sufficient support is provided to the new incumbent.		28/02/2021	James O'Shaughnessy	

Risk Ref: Overarching Risk	Risk Owner: Alan Robinson	Date: 09/12/2020			
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"> <li>1. Breach of legislation.</li> <li>2. Failure to seek or follow legal advice.</li> <li>3. Complaint from external organisation or member of public.</li> <li>4. Whistleblowing report.</li> <li>5. Increase of reportable incidents in specific work areas or activities.</li> <li>6. Increase of insurance claims.</li> <li>7. Accidents not reported or investigated.</li> <li>8. Increase absence rates or other work related absences.</li> <li>9. Non-compliance with primary legislation or Council policies.</li> <li>10. Project work not planned effectively to control H&amp;S risk.</li> <li>11. Managers and employees not effectively trained in H&amp;S matters.</li> </ol>	<ol style="list-style-type: none"> <li>1. Reputational damage.</li> <li>2. Financial loss.</li> <li>3. Judicial Review.</li> <li>4. Prosecution for H&amp;S related incidents.</li> <li>5. Employees injured through work activity.</li> <li>6. Increased insurance claims and insurance premiums.</li> <li>7. Member of public, contractor or employee killed at work, possible corporate manslaughter action.</li> <li>8. Staff sickness rates increase due to lack of compliance with good H&amp;S practice.</li> <li>9. Increased employer/employee litigation through inconsistent approach to managing H&amp;S in the workplace.</li> <li>10. Unable to defend H&amp;S claims or disputes.</li> </ol>	<ol style="list-style-type: none"> <li>1. Corporate H&amp;S Officer in place.</li> <li>2. H&amp;S Champions across the Council.</li> <li>3. General H&amp;S training provided. Service specific H&amp;S training and safe working procedures including lone working.</li> <li>4. H&amp;S incident reporting arrangements.</li> <li>5. Service level H&amp;S risk assessments undertaken and regular H&amp;S walks undertaken to identify hazards.</li> <li>6. Reporting to Mgt Team/JSCC on H&amp;S incidents.</li> <li>7. Regular H&amp;S and stress mgt training for all staff.</li> <li>8. Council subscription to Employee Assistance Programme for staff.</li> <li>9. Regular inspections of property, including car parks. Pro-</li> </ol>	2	4	Current Score: 8
					Target Score: 8
<p>Commentary: The move to a new operational depot has been agreed and it is planned to be in place by the summer of 2021. This will create a safer working environment for staff.</p>					

<p>12. Absence of robust H&amp;S monitoring and recording system.</p> <p>13. Fire Risk Assessments not current and reviewed by Managers</p>		<p>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>15. Senior Information Risk Owner in place</p>		
Actions for Improvement		Completion Date	Officer	Next Risk Review Date
Approve & deliver new Waste Services depot to provide safer working environment		31/12/2022	Ady Selby	30/06/2021

Risk Ref: Overarching Risk	Risk Owner: Ady Selby	Date: 09/12/2020			
Description of Strategic Risk: Inability to maintain critical services and deal with emergency events					
Trigger	Impact	Current Controls	Likelihood	Impact	Risk Score
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	1. Inability to deliver critical/key services. 2. Increased risk of harm to vulnerable customers. 3. Financial loss. 4. Reputational damage.	1. Robust infrastructure and back-up arrangements. 2. Package of information security incident policies and procedures. 3. IT Disaster Recovery Plan. 4. Robust emergency planning in place 5. Regular review of business continuity arrangements. 6. Membership of LRF Partnership. 7. Regular training for Strategic and Tactical Commanders 8. Plans in place and tested regularly 9. Training for out of hours officers and those attending SCG and TCG	2	4	Current Score: 8
					Target Score: 8
					Commentary: Effective business continuity and emergency planning responses are in place. Frequent testing will be a key priority.
Actions for Improvement		Completion Date	Officer		Next Risk Review Date

Refresher training for appropriate officers	31/03/2021	Ady Selby	30/06/2021
Ensure effective handover to new LRF adviser	31/12/2022	Ady Selby	