



**GA.54 16/17**

**Committee: Governance & Audit**

**Date: 14<sup>th</sup> March 2017**

**F**

**Subject: Combined Assurance Report 2016/17**

Report by:

Director of Resources: Ian Knowles

Contact Officer:

Business Improvement & Corporate Governance  
Manager  
01427 676537

Purpose / Summary:

To present the Council's Combined Assurance  
Report for 2016/17.

**RECOMMENDATION(S): For Members to review the Combined Assurance Report 2016/17 and approve its contents.**

## IMPLICATIONS

**Legal: None**

**Financial: FIN 133/17**

**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:**

Wherever possible please provide a hyperlink to the background paper/s

If a document is confidential and not for public viewing it should not be listed.

### 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**

**X**

### Key Decision:

A matter which affects two or more wards, or has significant financial implications

**Yes**

☐

**No**

**X**

## **1 Introduction**

- 1.1 The purpose of the Combined Assurance Report is to produce a record of assurances against our critical activities and risks. It provides an overview of assurance across the Council making it possible to identify where assurances are present, their source and where there are potential assurance 'unknowns or gaps'. It offers a tri-angulated view of assurance with separate opinion provided by management; corporate and/or third party assurance and Internal Audit. The Combined Assurance Report is produced annually and the current report covers the period 2016/17.

## **2 Combined Assurance Report**

- 2.1 This is the fifth Combined Assurance Report undertaken at West Lindsey District Council. It provides a view on assurance systems and services for the year ending March 2017. The report is offered at Appendix 1.
- 2.2 The report details the methodology that was used and the levels of assurance that we currently have. The assurance assessment, as explained in the report, is based on the 'three levels of assurance' model.
- 2.3 By conducting this work, we are in a position to be able to identify where we need to obtain further assurance and at what levels. The findings will be used to focus on areas for improvement.
- 2.4 This report, as presented, represents a realistic, yet positive picture of the levels of assurance in place across the Council and illustrates that our assurance framework is working well.
- 2.5 The findings show an apparent reduction in the overall assessment of elements categorised as green (55%) in comparison to last year's report (79%) and the increase in areas categorised as amber and red. This is due to a change in the methodology used, resulting in the inclusion in this year's report of the emerging risks within services and our strategic risk register.
- 2.6 Applying the previous methodology our overall assurance status breaks down as follows: 81% green; 19% amber. As detailed at point 2.5, this compares to last years' findings of 79% red and 21% amber.
- 2.7 Those transactional activities categorised as 'amber' in nature in this year's report include Gainsborough Markets, Traded Services, Tourism and Car Parks. These areas are all the subject of current reviews and focus and action plans are in place. The remaining areas classified as 'amber' in nature are detailed below with explanations for their respective assessments:

Homelessness Prevention - Some uncertainties exist around the effect the new Homelessness Bill will have on the service.

Planning Enforcement – Key policies require review and capacity issues exist across the enforcement functions.

Community Safety & ASB – Awaiting an audit into the service and the normalisation process following a restructure.

Planning Management Process – Remained amber, however good improvement in performance but capacity issues are yet to be fully addressed. Implementation of new ICT system in progress.

Local Land Charges – Remained amber. Capacity issues addressed and performance has improved but sustainability yet to be evidenced. Implementation of new ICT system in progress.

- 2.8 The content of the report and the thoughts of the Council's senior management have identified a number of key areas of focus for the year ahead. These are:
- Value for Money – work to be undertaken across service areas to provide value for money assessments and data to support benchmarking, improvement and business planning. Income generation and a commercial approach will form part of this work.
  - Partnerships – to ensure that the Council's key strategic partnerships are effective and transparent in their workings
  - Delivery of Land Based Services System – effective implementation is critical to support required improvements across three service areas
  - Closer to the Customer – This key programme, designed to realise more effective use of resources, an improved customer interface and greater co-ordination of customer demand, will develop further during 2017/18.
  - Programme & Project Management - we have made significant changes that need to be embedded and maintain maturation
  - Markets – a key service with reputational impacts. Viable options for the future delivery of Markets are required to enable Members determine the most appropriate solution
- 2.9 Operating in an environment of constant change and uncertainty, service areas assess and monitor any emerging risks that may affect the delivery of their service. These have been captured within the report and have been classified as either high (red) or medium (amber) in nature. These classifications have been fed into the overall green, amber and red ratings contained within the report.
- 2.10 The identification and management of risk are regarded as key disciplines. We are pleased that an appreciation and awareness of risk management was evident and captured during the collation of the report.
3. Next Steps

- 3.1 The report will be used as a basis for learning and improvements and service planning and will be updated to provide an overall level of assurance, focussing on the critical areas (detailed at 2.8 above) for the Council in achieving strategic objectives for the 2017/18 period.
- 3.2 The findings of the report will be used to inform Internal Audit's work plan for 2017/18 and the Council's Annual Governance Statement for 2016/17.
- 4. Recommendation
  - 4.1 The Committee are asked to approve the report and be assured that the Council's governance framework is operating effectively.

# Combined Assurance Status Report



## What we do best...

Innovative assurance services

Specialists at internal audit

Comprehensive risk management

Experts in countering fraud

## ...and what sets us apart

Unrivalled best value to our customers

Existing strong regional public sector partnership

Auditors with the knowledge and expertise to get the job done

Already working extensively with the not-for-profit and third sector



# Combined Assurance Status Report

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Contact details – Lucy Pledge Head of Internal Audit [Lucy.Pledge@lincolnshire.gov.uk](mailto:Lucy.Pledge@lincolnshire.gov.uk)

John Sketchley Audit Team Leader  
[John.Sketchley@lincolnshire.gov.uk](mailto:John.Sketchley@lincolnshire.gov.uk)







# Combined Assurance Status Report

## Introduction

This is the fourth combined assurance report for West Lindsey District Council.

By grouping the different sources of assurance in a single model we provide the basis for Senior Management and Audit Committees to gain a better understanding of their organisation's assurance status and needs.

We do this by coordinating assurance arrangements – providing some structure – this is our Assurance Map.

We have well established Assurance Maps that help us to focus our work plans on the make or break risks that affect the successful delivery of services and strategic objectives. The Maps also recognise the importance of critical business systems that support successful delivery and 'protect the business' – the due diligence activities.

The Maps give an overview of assurance provided across the whole organisation – not just those from Internal Audit – making it possible to identify where assurances are present, their source, and where there are potential assurance 'unknowns or gaps'.

The Maps are an invaluable tool for senior managers, providing a snapshot of assurance at any point of time. This report explores those assurances in more detail.

We gathered and analysed assurance information in a controlled environment that:

- takes what we have been told on trust, and
- encourages accountability with those responsible for managing the service.

## Scope

We gathered information on our:

- **Critical systems** – those areas identified by senior management as having a significant impact on the successful delivery of our priorities or whose failure could result in significant damage to our reputation, financial loss or impact on people.
- **Due diligence activities** – those that support the running of the Council and ensure compliance with policies.
- **Key risks** – found on our strategic risk register, operational risk registers or associated with major new business strategy/change.
- **Key projects** – supporting corporate priorities/activities.
- **Key partnerships** – partnerships that play a key role in successful delivery of services



# Combined Assurance Status Report

## Methodology

To ensure our combined assurance model shows assurances across the entire Council, not just those from Internal Audit, we leverage assurance information from your 'business as usual' operations. Using the '3 lines of assurance' concept:



Our approach includes a critical review or assessment on the level of confidence the Board can have on its service delivery arrangements, management of risks, operation of controls and performance.

We did this by:

- Speaking to senior and operational managers who have the day to day responsibility for managing and controlling their service activities.
- Working with corporate functions and using other third party inspections to provide information on performance, successful delivery and organisational learning.
- Using the outcome of Internal Audit work to provide independent insight and assurance opinions.
- Considering other information and business intelligence that feed into and has potential to impact on assurance.

We used a Red (low), Amber (medium) and Green (high) rating to help us assess the level of assurance confidence in place.

The overall assurance opinion is based on the assessment and judgement of senior management. Internal audit has helped co-ordinate these and provided some challenge **but** as accountability rests with the Senior Manager we used their overall assurance opinion.



# Combined Assurance Status Report

## Key Messages

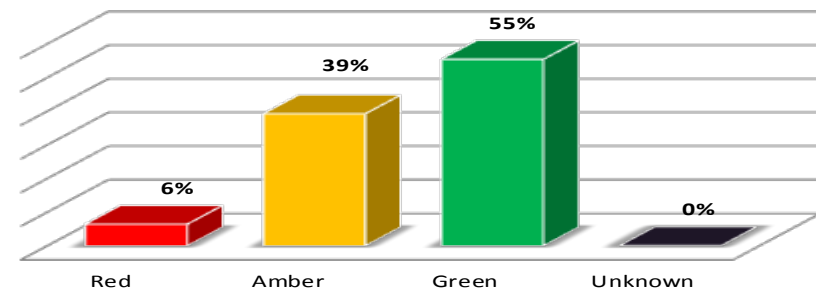
We welcome the production of this year's Combined Assurance Report and thank Assurance Lincolnshire for producing it and our own officers for contributing to its content. The findings represent a comprehensive and realistic view of our assurance position across our services, critical systems, governance processes, ICT arrangements, key projects and risk analysis.

The first point to mention is the apparent reduction in the overall assessment of elements categorised as green in comparison to last year's report and the increase in areas categorised as amber and red. This is due to the inclusion in this year's report of the emerging risks within services and our strategic risk register. Based on last year's methodology our overall assurance status would break down as follows: 81% green; 19% amber. Findings for 2015/16 were; 79% green and 21% amber.

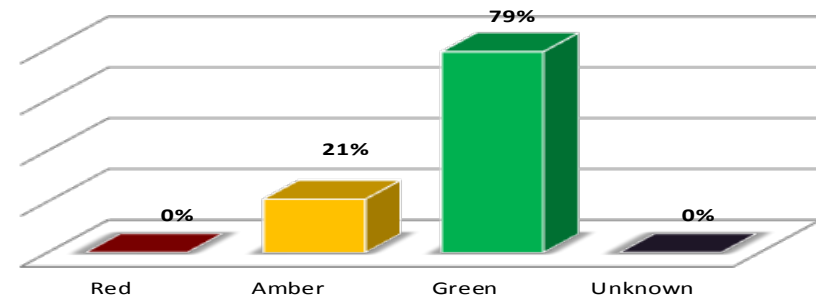
As well as producing its Corporate Plan for 2016-2020, the Council has managed significant change during 2016/17, while continuing to operate within tight financial constraints. A major focus has been placed on refining our business planning process to ensure it identifies opportunities for sustainable efficiencies, service improvement and additional income generating streams. Additionally a number of service reviews have taken place which have resulted in a restructure and refocus of our Localism team; an externally led review of

our enforcement related functions and a fundamental re-appraisal of our partnership arrangements related to Choice Based Lettings. In addition, the Council has embarked on the implementation of a new system to support the delivery of our Land Based services (Building Control, Development Management and Local Land Charges) and has also begun to scope a major programme entitled 'Closer to the Customer' which aims to put the customer at the heart of all we do.

### Overall Assurance Status 2016/17



### Overall Assurance Status 2015/16





# Combined Assurance Status Report

Suggested next steps.....

**Value for Money** – work across service areas to provide value for money assessments and provide data to support benchmarking and improvement

**Partnerships** – to ensure that the Council's key strategic partnerships are effective and transparent in their workings

**Delivery of Land Based Services System** – effective implementation is critical to support required improvements across three service areas

**Closer to the Customer** – a key programme designed to realise more effective use of resources and greater co-ordination of customer demand

**Programme & Project Management** - we have made significant changes that need to be embedded and maintain maturation

**Markets** – a key service with reputational impacts. Viable options for the future delivery of Markets are required to enable Members determine the most appropriate solution



# Combined Assurance Status Report

## Critical Systems

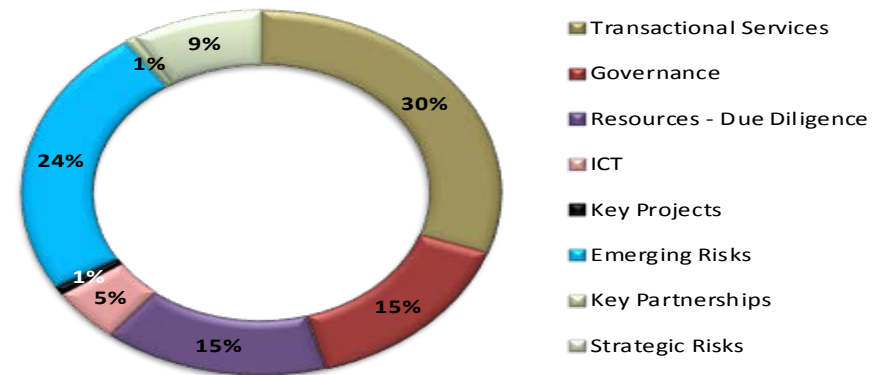
Across our critical systems we are in agreement with the reported levels of assurance and the methodology adopted to assess them. We believe we are a mature enough organisation to act objectively and where issues are identified have the confidence to request assistance and/or further investigation in the form of commissioning audits and/or external reviews to investigate the perceived problems.

From the analysis of who provides our assurance, it is pleasing to see that we have an effective balance, with management (as the first line of assurance) demonstrating effective accountability for delivery and understanding of the overall effectiveness of and risks facing their service area.

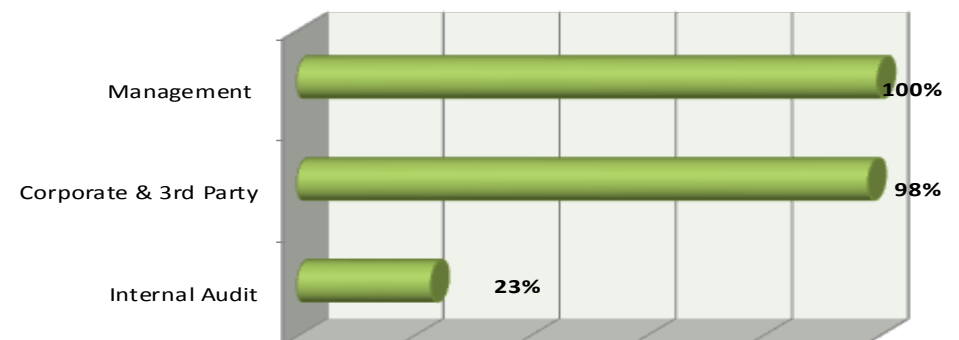
To facilitate more effective decision making and ensuring proportionality in respect of governance related to our key programmes, the Council has reviewed its board structures. This has resulted in the dissolution of our previous boards and the reconstitution of the Entrepreneurial Board to oversee the delivery of our key programmes. A key focus of the Board is the need to ensure programme and project management is overseen by the responsible officers, Sponsor and Programme/Project Lead, including the appointment of dedicated officers in some instances. Existing projects have been critically examined, with those not aligned to the

Council's aims terminated and small scale projects re-assigned for delivery within service areas.

Performance is regularly monitored across service areas and is reviewed by management and Members.



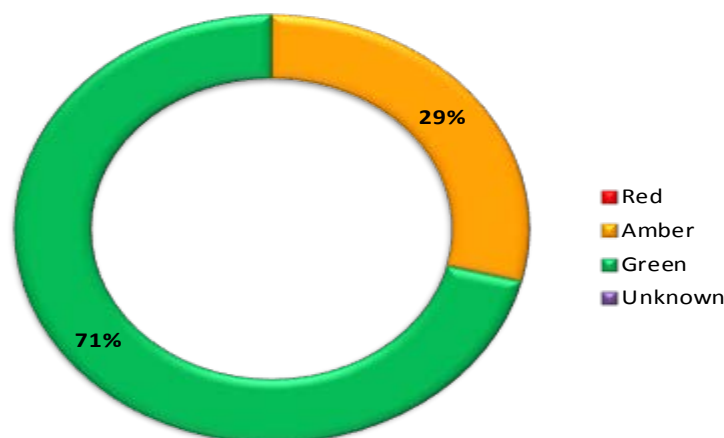
## Who Provides Your Assurance





# Combined Assurance Status Report

## Transactional Services



Transactional services refer to the agreed set of services and functions run by the Council. Each service area should have clarity of its purpose, an understanding of their stakeholders and clear processes for delivery and managing performance.

Our transactional services are in the main 'front-facing' and the delivery of excellent performance and high levels of customer satisfaction are key pre-requisites. These two components contribute in a large part to the reputation of the Council amongst residents and Members.

Analysis of the report's findings in respect of transactional services has established that our overall assessment remains the same as in 2015/16, with 71% of our transactional

services assessed as performing highly. No service has suffered a worsening in their assessment during the year and no area has been assessed as 'red' in nature. Within the context of reduced budgets, matched with raised expectations on the part of customers, this is a positive position. In respect of Development Management and Local Land Charges, improvements in service delivery and customer satisfaction have continued and work has also commenced to implement a new system which will share information between these two services and Building Control.

Areas that have been categorised as 'amber' include Markets. This function has been the subject of much deliberation over recent years and a number of options for future provision have been worked up for consideration. Our Traded Services have also been similarly categorised as this is a developing aspect of the Council's workings. Tourism and Homelessness Prevention have also received an amber rating, with the latter subject to new legislation; the impacts of which have yet to be fully determined. Car parking provision across the District is also within this grouping as there are pressures on car parking capacity in Gainsborough due to new development and the recent introduction of charging in one of our market towns has resulted in a number of localised issues.

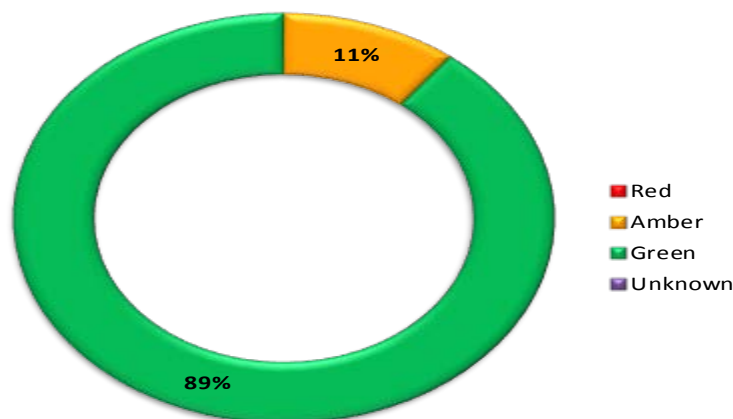
To ensure that services are delivered effectively, each service area produces an annual service plan; has its own balanced scorecard of performance measures which it reports quarterly to senior management and Members and records and manages its service related risks.





# Combined Assurance Status Report

## Governance



This section includes areas such as corporate governance, risk management, partnerships, projects and contract management, Human Resources and Member and Democratic Services.

The findings of the report show that almost nine out of ten of our governance elements are deemed to be operating effectively. The two aspects that have yet to reach this level include partnership management and equality and diversity. In respect of the former, we are promoting the concept of the 'Intelligent Client', to ensure that our key partnerships are effectively monitored and managed and remain fit for purpose. With reference to Equality & Diversity work is in hand to allocate responsibility for this area to a member of the Corporate Governance Team.

During 2016/17 we were pleased to receive from Internal Audit a 'green' rating opinion on our governance arrangements. This maintained our improvements over recent years. We aim to ensure that in a time of significant change, our governance processes and structures remain robust, yet proportionate and facilitate effective decision making.

2016/17 also saw improvements in our approach to contract management. This was validated by a 'follow-up' audit which provided a substantial assurance rating. Additionally, having received a limited assurance rating in respect of Incident Management earlier in the year, we acted quickly to address matters. The follow-up audit subsequently reported that the previously identified issues had been effectively addressed and a substantial assurance rating was given.

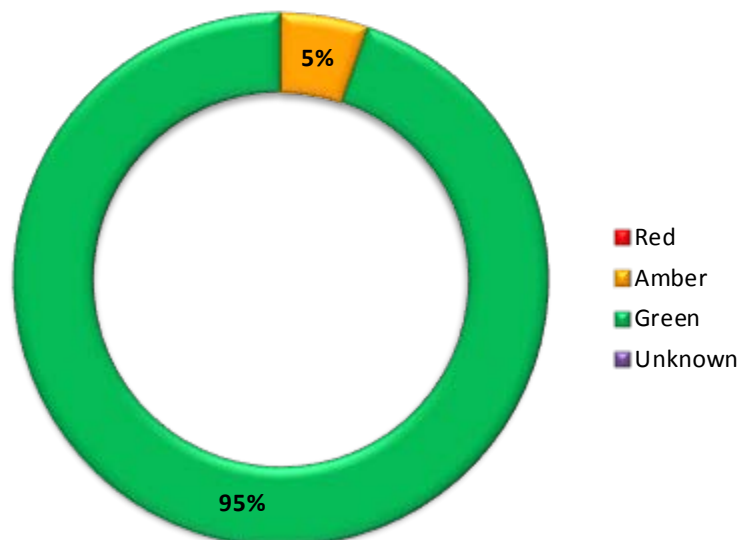
An audit into the Council's key policies and procedures was conducted in 2016/17 and provided a substantial assurance rating. This demonstrates that our policies and procedures support effective working, as they are aligned to corporate plans, aims and objectives and provides assurance to management that service delivery is effectively supported.

Information Governance is an area we monitor closely. Key policies have been refreshed, new policies adopted and training has been delivered to staff. Our Corporate Information Governance Group (CIGG) provides oversight and direction. We are aware of the implications of forthcoming legislation in the form of the General Data Protection Regulations (GDPR) and are planning for its implementation by May 2018.



# Combined Assurance Status Report

## Resources - Due Diligence



This aspect relates to the functions that support the running of the Council and ensure compliance with policies.

The findings across this section of the report are extremely welcome. Our arrangements overseeing Council Tax, Business Rates, Housing Benefits, financial management controls and the governance of grants are all performing well. The findings were ascertained after due consideration had been given to a range of indicators against which individual areas could be assessed. These indicators included performance, costs of delivery, the quality and breadth of project and risk management within the area and any conclusions from recent audits.

A number of these areas are subject to annual audits due to statutory requirements.

The only element to receive an amber rating was bank reconciliation. This was due to a number of issues with a new system and recent staff changes. This is under review to ensure improvements are realised and the function works more satisfactorily.

Two new elements were included within this area: Commercial and Growth. During 2016/17 we commissioned a consultancy report from Internal Audit in respect of the Council's commercial plans. This found that the Council is developing good systems and processes to align its commercial approach, with stated aims in the commercial strategy. It also recognised the Council's acknowledgement that there are legal constraints on what services Councils can offer and to achieve targets and a consistent commercial approach a substantial culture change from staff is required.

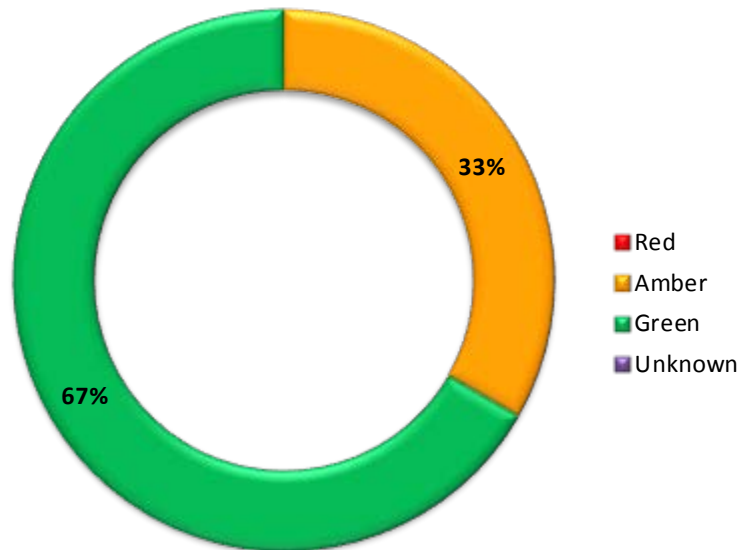
With regards to the Council's growth agenda, which is evident within the Corporate Plan, reviews of the development of related projects and governance arrangements were undertaken. These found that large scale projects are progressing satisfactorily in line with intended aims.





# Combined Assurance Status Report

## ICT



The ICT aspect of the report focusses on governance arrangements within the service, the infrastructure, day to day operations, projects, compliance and applications and systems. Two of these components have been classed as amber in nature; projects and compliance. While ICT related projects have been deemed to work well, improvements in terms of the process followed could be realised. To address this, Enterprise Architecture principles have been adopted. In regard to compliance, a limited assurance rating was received in respect of PCI DSS compliance. This concerns the security related to the receipt of card payments. A number of

improvements have been identified and work is underway to address the issues raised by the audit.

During 2016/17 the service has appointed a new ICT Manager under our on-going partnership arrangements with North Kesteven District Council. Team members have also undertaken Information Technology Infrastructure Library (ITIL) training to improve the quality and consistency of the service provided and to move it to a more effective business partner model. The Council has also created an Intelligent Client role to act as the conduit between service areas (the business) and the ICT function. This is to ensure that services are able to identify new modern working practices and supporting systems and are adequately supported in terms of their ICT related needs and are also able to effectively communicate their needs to the ICT service.

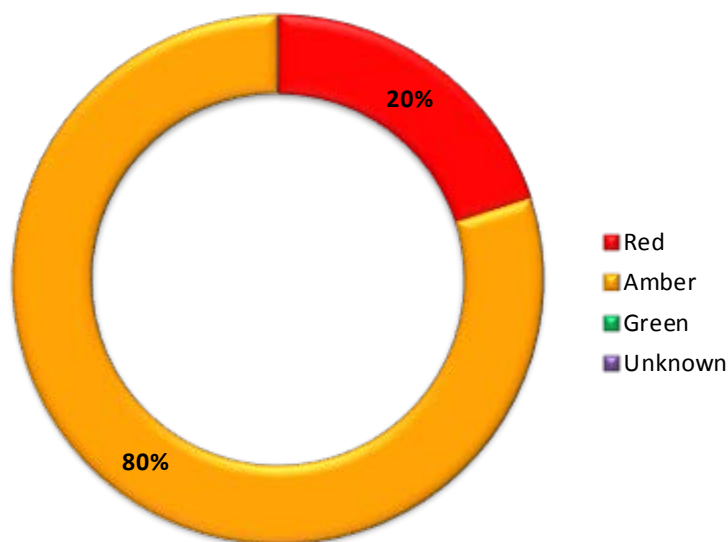
Production of the Council's ICT Strategy was a key focus during 2016/17. A draft strategy has been produced and is being reviewed and enhanced with support from SOCITM.

The shared partnership with North Kesteven is working well and has adopted a more task and delivery focus. The overarching partnership framework has been externally reviewed and remains fit for purpose and the SLAs in operation under the arrangements have similarly been reviewed by the partnership members.



# Combined Assurance Status Report

## Emerging Risks



We are pleased that the emerging risks, as identified by Team Managers have been included within the report. Significant work has been undertaken over the recent past to ensure that risk management becomes a widely followed discipline. This has proved successful with a dramatic fall in the number of service risks going without regular review.

All service areas maintain their own risk registers to record and manage their risks. Oversight is provide at Senior

Leadership Team meetings and on-going training and awareness sessions are provided for staff.

As the Council moves to adopt a more commercial focus; looks to review its operations and structures to achieve greater value for money and seeks to understand the impact of pending legislative changes, for example the Homelessness Reduction Bill and GDPR, a number of services have experienced, (or expect to experience) significant change. This is evident within the Housing Service who have raised a number of emerging risks in respect of legislative change and also the effectiveness of their partnership arrangements supporting Choice Based Lettings. Both aspects are being worked through methodically.

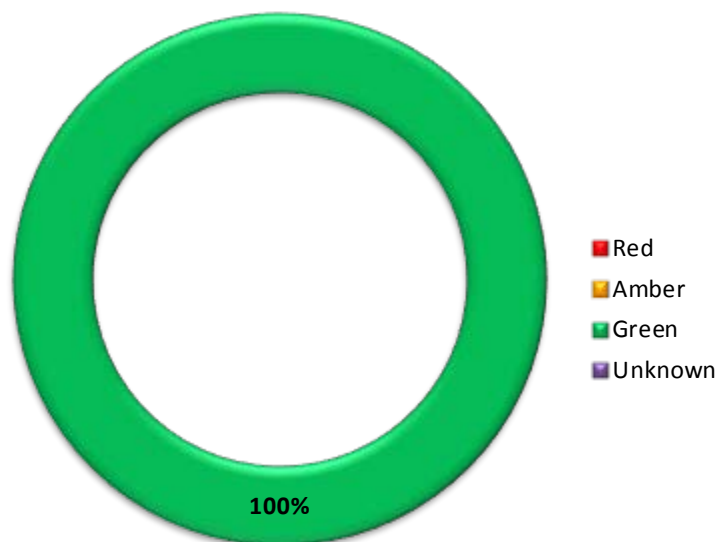
Reviews have been conducted across regulatory/enforcement functions and also property and estate management which have identified a number of issues to be addressed. Additionally, across the Council a number of services have raised resourcing risks, with officers absorbing additional tasks or temporary roles to ensure essential work is delivered.

Further risks have been raised in respect to the implementation of new ICT systems and/or the functionality of existing systems. The Council's Corporate Systems Group (CSG) and the Intelligent Client work with service areas to understand issues and seek remedies.



# Combined Assurance Status Report

## Key Projects



Through the course of obtaining evidence from Team Managers for the production of the report, no manager expressed concern with project management in service discussions. Our reporting to management and Members on the progress of the delivery of projects is undertaken quarterly and where issues are identified, remedial actions are provided.

One cause for concern is the issue of capacity and the ability to deliver. Steps have been taken to address this with a critical review of all projects. This led to the closure of a significant

number. Additionally, the Council's board structure has been reviewed, resulting in the dissolution of the Commercial; Growth and Transformation Boards and the reconstitution of the Entrepreneurial Board. This now has oversight of the key programmes designed to support delivery of the Council's Corporate Plan.

To provide capacity and technical knowledge, a number of key programmes are 'buying-in' project support and expert advice when required.

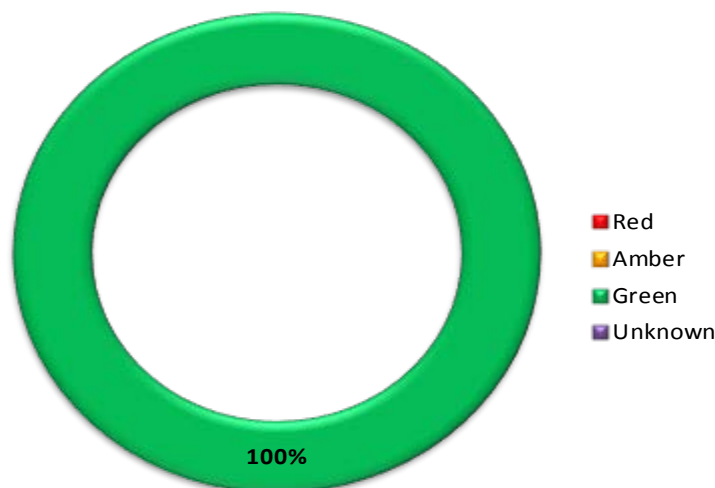
Work has also been undertaken to ensure the Council's project management methodology remains fit for purpose. This has led to a 'tweaking' of the documentation. However an issue remains in respect of the re-build and functionality of the 'project office' on the Council's intranet. It is key that this is addressed to ensure that staff are supported in developing projects and programmes.

To ensure corporate support is provided for colleagues and to monitor the adherence to our methodology and the quality of work produced, the Business Improvement Team have offered a revised structure for consideration by senior management. It is hoped that this will be accepted to assist in providing high levels of assurance in respect of the delivery of key projects.



# Combined Assurance Status Report

## Key Partnerships



The Council recognises that effective partnership working is key to the achievement of many of its goals. In that regard it is essential that any partnerships entered into, or are currently in operation, deliver and their on-going relevance and effectiveness are continually evaluated.

Although no significant issues were raised during the assurance mapping exercise, there is a recognition that management/corporate oversight and regular review of partnership management could be improved. A central partnership register is in operation to provide a degree of transparency over the arrangements the Council as a whole has entered into. However, work is required to ensure it is used correctly and is up to date.

Proposals as to how improvements can be made in respect of our approach to and evaluation of our partnership working arrangements, are being devised for consideration by senior management.

During 2016/17 our partnership arrangements connected with the delivery of Choice Based Lettings were audited. This found (and confirmed) the existence of significant issues across the partnership, which are now being worked upon in a pro-active manner. On-going matters remain to be addressed, not least the effectiveness of the IT system which supports service delivery and in which we are placing little confidence at this stage that it will, or can be, improved.

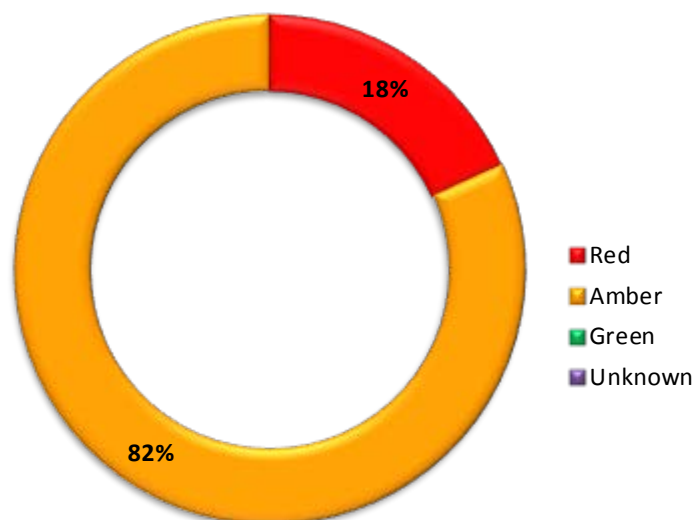
Another key partnership is our relationship with the Joint Planning Unit, established to oversee the development and production of the Central Lincolnshire Plan. This has worked effectively, with the Plan now in the adoption stage. However we are keen to ensure that arrangements to oversee and monitor the implementation of the Plan are effective. Therefore we are playing a key role across the partnership in setting out future requirements, resource implications and desired outcomes.

An audit focussing on our approach to partnerships is currently underway and will provide a good analysis of our current position and actions to take forward.



# Combined Assurance Status Report

## Strategic Risks



During the course of 2016/17, the Core Leadership Team (CLT) re-appraised the key strategic risks facing the Council and aligned them to the Corporate Plan themes. In addition to the risks pertaining to the Corporate Plan a number of additional risks were identified such as Information Governance and Corporate Health & Safety. This has provided a greater focus and relevance to the content of the Strategic Risk Register (provided below).

CLT are risk aware and as a minimum, the Strategic Risk Register is reviewed by them on a quarterly basis. Each risk has been assigned a risk owner. Mitigating actions are identified and implemented, with their robustness assessed

and the requirement for any additional actions to strengthen the mitigations is regularly reviewed.

The Council's Governance & Audit Committee receive bi-annual updates on the content of the strategic risk register and are asked to provide appropriate scrutiny.

The Council has a Risk Strategy in place, which provides guidance for the consistent management and consideration of risk across the organisation.

As the Council strives to deliver against its commercial and entrepreneurial agendas, it is recognised that the taking of calculated risks is required. All business cases require robust risk assessments and on-going monitoring and management.



# Combined Assurance Status Report

## Key Risks

### Strategic Risks

#### Council's highest rated Strategic Risks

##### Commercial Approach

In order to be non-grant dependant by 2020, the Council has developed a Commercial Plan containing a number of themes. These are designed to produce sustainable income streams. However it is recognised that there is significant risk connected to this aim, hence our whole commercial approach is regarded as a high rated strategic risk.

##### Information Governance

Protection from cyber-attack and/or data leakage is a significant risk to all organisations. We must therefore ensure that our defences are as strong as possible and staff are

aware of their responsibilities. On-going monitoring of developments in this area, training and awareness and vigilance on the part of all, are part of our mitigating actions.

### Emerging Risks

As detailed earlier, consideration has been paid to such risks within service areas. The highest (red) rated are as follows:

Service Area	Description of Risk
Regulatory Services	Results of the latest stress survey this year done for managers. Some concern that managers are finding it difficult to balance delivery and performance
Property & Estate Management	Resource is a real risk as highlighted in recent audits. The team has lost three members of staff without recruiting any replacements.
Housing/Commercial	Capacity to complete projects.





# Combined Assurance Status Report

## Strategic Risk Register as at November 2016

Title	Allocated To	Description of Potential Risk	Risk Likelihood	Likelihood Score	Risk Impact	Impact Score	Risk Score	Rating
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.	Probable	3	Major	3	9	3.Red
Open for Business	Manjeet Gill	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.	Possible	2	Major	3	6	2.Amber
People First	Ian Knowles	Customer - We do not deliver a customer focussed approach, provide appropriate infrastructure and facilities for residents.  Community & Residents - We do not provide leadership of place for our communities and residents to ensure their well-being is adversely affected.  Workforce - We do not develop, equip and support staff to be	Possible	2	Major	3	6	2.Amber



# Combined Assurance Status Report

		fully effective in their roles thereby unable to adhere to our customer focussed, entrepreneurial principles, resulting in poor service, non-motivated work force and providing an unattractive offer both for residents and inward investment.							
Asset Management	Manjeet Gill	Our assets are underutilised, generate lower returns than required, do not facilitate inward investment or deliver fewer social benefits than expected.	Possible	2	Major	3	6	2.Amber	
Devolution & Partnerships	Manjeet Gill	<p>Devolution - Greater Lincolnshire Partnership and devolution deal does not materialise and devolved powers are not obtained.</p> <p>Partnerships - We do not fulfil our role as influencer, shaper and co-ordinator of major economic, social and environmental issues that affect the District.</p> <p>Partnerships - Our delivery vehicles for shared services/shared estate or trading companies do not effectively deliver against their</p>	Possible	2	Major	3	6	2.Amber	





# Combined Assurance Status Report

		intended purpose and achieve VfM.							
Local Plan	Mark Sturgess	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 aligned	Possible	2	Major	3	6	2.Amber	
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 partnership mechanisms to deliver VfM considerations.	Possible	2	Major	3	6	2.Amber	
Commercial Approach	Penny Sharp	Commercial Projects do not deliver anticipated benefits resulting in increased financial pressures	Possible	2	Critical	4	8	3.Red	



# Combined Assurance Status Report

Corporate Health & Safety	Manjeet Gill	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	Possible	2	Major	3	6	2.Amber
Compliance	Ian Knowles	We do not comply or fail to correctly implement relevant statutory legislation resulting in adverse reputational impacts and legal and financial consequences.	Possible	2	Major	3	6	2.Amber
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.	Possible	2	Major	3	6	2.Amber