

Standard Risk Register

Strategic Risks - NL			Residual Profile	Last Review & Next	Controls In Place	Target Profile	Actions	To be implemented by	Person Responsible
Risk Ref	Risk Name	Triggers Effects							
1.	Failure to achieve long-term financial sustainability	1. Uncertainty on the level of national funding streams 2. Qualified Accounts or VFM Opinion 3. Unresolved in year budget pressures or frequent unplanned use of reserves 4. Budget not set or approved 5. General Reserves less than 5% of net budget 6. S114 issued 7. Unsustainable pressures in Adult Social Care system	12 High 4x3	19/09/2023 19/03/2024	01 The MTFP makes a realistic assessment of the resource that growth allows and allocates to council priorities 02 Effective financial management secured through budget planning and control using a system of devolved budget management 03 Contract Procedure Rules and Financial Regulations set out the Council's arrangements 04 Reserves Policy to cover risk is included in the MTFP Financial Strategy 05 Budget for 2023/24 approved by Full Council 06 MTFP regularly updated 07 Several transformational groups in place working on transformational savings	12 High 4x3	01 Await VfM opinion for 2021/22 and 2022/23 and act if required 02 Transformation savings to be delivered	31/03/2024 30/03/2024	Senior Leadership Executive

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2.	Increasing Health Inequalities due to socio-economic conditions resulting in additional pressure on front line services	<p>1. Reduced people in work Low employment rate * Higher demand for council support and services * Increased people on benefits * Young people have lower aspirations * Increased poor Mental Health and self-harm.</p> <p>2. Increase in teenage parents, Increase in children of teenage parents – more likely in populations with higher deprivation index * Increased demand for more specialist support services – schools, * Increased need for housing support * Increased child poverty rates, more smoking in pregnancy in teenage parents and less breastfeeding</p> <p>3. An unhealthy population. N. Lincs failing to become a thriving centre for economic growth as it is not supported by a healthy population. * Failing to have a skilled workforce</p> <p>4. Unhealthy Lifestyle increased rates of smoking and vaping, obesity and low levels of physical activity and increased substance use and gambling related harm in areas of higher deprivation. * Higher rates of poor respiratory health - poor lung health - COPD, etc - increased worklessness - more social care required - poor mental health</p>	12 High 3x4	04/05/2024	<p>01 Actions to reduce teenage pregnancies</p> <p>02 Use of public health grant to commission external services to promoting healthy lifestyles and wellbeing</p> <p>03 0-19 strategy and 0-19 service</p> <p>04 Health & Wellbeing Strategy</p> <p>05 Utilisation of the PH Grant for reducing health inequalities and improving health – e.g. Substance use commissioning.</p> <p>06 Sexual health service commissioning to provide access to contraception for young people. Schools and RSHE</p> <p>07 Resilience programme proposal</p> <p>08 Community Wellbeing offer targeted prevention – PHM approach</p> <p>09 Community enablement – volunteering, social connectiveness – rural transport, community transport offer</p> <p>10 Supporting the workforce to be healthy. My Wellbeing conversations, health screening for workforce, wellbeing for workforce</p> <p>11 Population Health Approach- targeting need.</p> <p>12 Healthy Green Spaces – Our Green Futures</p> <p>13 Active travel</p> <p>14 Prevention Strategy</p> <p>15 Tobacco Alliance Licencing - tobacco and vaping</p> <p>16 Influence on the H&WB Board and the NL Place Partnership.</p> <p>17 Effective use of Public Health Grant for prevention, facilitated by assurance process/internal service specs led by PH</p> <p>18 Whole system working at place, community first strategy</p>	9 Medium 3x3	<p>01 Develop prevention strategy. Proportionate universalism approach/target resource to need/equity outcome as opposed equity input</p> <p>02 Invest in prevention and population health approaches –invest to save costs proposals</p> <p>03 Refresh the Health & Wellbeing Strategy with the proposals from this risk assessment</p> <p>04 Whole system partnership work to Invest a %age of health and social care budget in the VCSE to build community assets/cohesion</p> <p>05 Invest in a programme to build resilience in young people and parents</p> <p>06 Ensure enough capacity and prioritising / transformation to meet current need</p> <p>07 Invest in whole system long term sustainable health and wellbeing improvement programmes</p>	<p>30/10/2023</p> <p>30/10/2024</p> <p>30/03/2024</p> <p>31/03/2025</p> <p>29/11/2023</p> <p>29/11/2023</p> <p>31/03/2025</p>	Public Health Consultant

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		<p>* Children living in smoking households - increased asthma - increased likelihood of smoking</p> <p>* Poor diet - is more affordable. Obesity increasing demand on services</p> <p>* High obesity rates - impacts on dependence on council services and higher worklessness</p> <p>5. A Strategic focus on acute priorities makes it more challenging to invest in whole system long term sustainable programmes</p> <p>* Short term planning does not deliver sustainable whole system population improvements in health and wellbeing and a reduction in health inequalities</p> <p>* Whole system long term sustainable programmes that will deliver a healthier population, reduction in health inequalities and deliver savings in 10-20 years</p>							

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3.	Economic Disruption Through Loss of Key Business within Local Economy	<p>1. Administration/relocation of Large Employer Announced</p> <ul style="list-style-type: none"> * Significant jobs losses * Financial risk to authority due to extra strain on services and loss of NNDR income * Supply chain impact/reduction in Financial activity * strain on health and well-being services by those impacted * Costs associated with regenerating potential vacant site <p>2. Legislative Change Impacting Core Industries</p> <ul style="list-style-type: none"> * Changes in the way businesses can operate meaning a core sector can no longer trade without significant investment (e.g. Net Zero changes) * This could lead to job losses or economic opportunity loss as investment cannot be made for growth * Long term investment or lack of could mean we become less productive and intern leads to a contracting of the economy. <p>3. Macro-Economic Factors Leading to Significant Downturn</p> <ul style="list-style-type: none"> * Covid 19 pandemic * War * Natural disaster * Brexit <p>4. New technologies/change in consumer Landscape impacting Key Employers</p> <ul style="list-style-type: none"> * Potential risk would be the new technology or change in consumer behaviour impacts historic and well-established sectors locally. 	9 Medium 3x3	05/03/2024	<p>01 Key Account Management system in place to enable regular engagement with our largest businesses</p> <p>02 Sector Leads for our core sectors</p> <p>03 Inward Investment to attract new business to the region, to grow and help diversify our economy and maximise employment</p> <p>04 Grant Support to enable the most appropriate interventions</p> <p>05 Increased engagement with Higher Education and Industrial Boards</p> <p>06 Multi-agency team to review impacts and take action</p> <p>07 Local Resilience Forum in place</p>	9 Medium 3x3	<p>01 Sector Lead - Horizon Scanning to understand core sector challenges. Working with businesses to obtain intelligence</p> <p>02 Economic Shock Protocol for when an economic shock occurs to enable the council to respond appropriately</p>	04/03/2024 04/03/2024	Director: Communities

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4.	Employee Retention and Recruitment into critical service areas where there are key person dependencies or a legal duty of care	<p>1. Inability to attract adequate numbers of qualified social workers to fill vacancies</p> <p>2. Disruption to services provided, increased pressures on existing teams/staff members, reduced level of service provided to residents, impact on NHS partners (hospital discharges etc), increase in agency costs, cost of recruitment</p> <p>3. Inability to attract adequate numbers of applications to fill social care vacancies</p> <p>4. Disruption to services provided, increased pressures on existing teams/staff members, reduced level of service provided to residents, impact on NHS partners (hospital discharges etc), increase in agency costs, cost of recruitment</p> <p>5. Limited succession/workforce planning undertaken</p> <p>6. Reduced ability to forward plan, no career pathways identified to support career progression, inadequate workforce development opportunities and career pathways, reduced awareness of workforce demographics and potential pressure points</p> <p>7. Opportunity for better pay/benefits/rewards in neighbouring councils/providers</p> <p>8. Number of key staff seek to move from NLC to alternative employer, pressures on service and remaining team, loss of key skills and knowledge, cost of recruitment reputational impact</p>	9 Medium 3x3	04/03/2024	<p>01 Workforce planning undertaken by each function</p> <p>02 Working in partnership with NHS/place partners to attract and retain key skills in North Lincolnshire</p> <p>03 Working with schools, colleges and universities to raise awareness and interest in working for NLC in a range of careers</p> <p>04 Attending jobs fayres to promote vacancies and apprenticeships</p> <p>05 Regional MOU in relation to SW pay</p>	9 Medium 3x3				Assistant Director Organ Development

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5.	Lack of investment into organisation transformation resulting in insufficient systems and processes, increasing the risk of data loss or cyber attacks	1. Phishing email, download, installation of Malware/Virus 2. Software/Hardware vulnerabilities unpatched 3. Inadequate controls to prevent unauthorised access to the corporate network 4. Use of unauthorised devices i.e. USB memory sticks, portable hard drives 5. Unauthorised access to corporate devices 6. Sustained council wide impact to council services, ICT systems, computers, applications, data and Communications 7. Significant financial impact resulting in multi million pound costs to recover and restore services 8. Loss of life due to loss of data around vulnerable customers and loss 9. Loss of credibility as a secure and reliable organisation	6 Medium 4x2	08/07/2024	01 Regular user awareness and education training 02 Regular Phishing Simulations to measure susceptibility 03 Malware protection procedure 04 04 AV updated on a daily basis 05 Technical controls (M365) SPAM filter, Firewall reducing phishing emails entering network, block known malicious links 06 Microsoft patches deployed on a monthly basis for servers and as soon as available for workstations 07 Software upgrade paths to update prior to end of life 08 Patch/vulnerability management, monthly vulnerability scans identify vulnerabilities, prioritise remediation activity 09 Corporate Device procedures 10 All media scanned before use 11 Access Control Lists 12 Third Party Software patched using Patch My PC 13 Regular review of Domain Admin Accounts 14 Logging of Network Log ins 15 PC admin rights controlled 16 Monthly security report is produced to monitor a security position to provide assurance 17 Business Continuity Process and documented procedures 18 Disaster Recovery Planning exercises and procedures 19 Regular and Offline Backups 20 Multi Factor Authentication Enabled 21 Annual Penetration Tests (External IT Health Checks) carried out by 3rd party security testers, remediation activities 22 Cyber Essentials Plus Certifications	4 Medium 4x2	01 Review Insurance offer and costings 02 Review Increased Logging and Realtime analysis of attack 03 Review contacted recovery services	31/03/2024 31/03/2024 31/03/2024	Director: Communities

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6.	Failure to achieve net zero, nature recovery and wider sustainability targets	1. Lack of cohesive strategy 2. Lack of dedicated resource and staff to drive forward the change 3. Changes in Government policy diverting away from targets 4. Lack of funding to deliver the change 5. Sporadic spending, challenging locally applied targets	6 Medium 3x2	01/02/2024	01 Qualified and knowledge staff 02 Government New Burden funding 03 Governance arrangement in place managing the delivery of NLC Green Futures 04 NLC Green Futures 05 Local Plan 06 Local Nature Recovery Strategy 07 Green Investment in Greater Lincoln 08 Electric Vehicle Strategy 09 Sustainable Fleet Replacement Strategy. EV chargepoint infrastructure plan 10 Multiple Decarbonisation Strategies	6 Medium 3x2	01 To review the Capital Asset Management Plan and where environmental efficiencies can be made 02 To adopt the Local Plan driving forwards sustainable development 03 Secure additional resource for ecology and low carbon projects	31/03/2024 31/08/2024 31/03/2024	Director: Communities
7.	Inability to strategically plan long term investments and growth	1. Increase in service and materials costs 2. Recruitment and capacity 3. Changes in cycle patterns/trends 4. Change in government policies 5. Change in local administration - change in priorities 6. Inability to finance investment	6 Medium 3x2	02/02/2024	01 Robust business planning process 02 Robust business case process 03 Events to attract local workforce 04 Three lines of assurance around project management 05 Increase in contingency level	6 Medium 3x2			Director: Communities