

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								
NLSR0009	Failure to achieve long-term financial resilience	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	8 Medium 4x2	25/02/2022 30/04/2022	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 2022/23 approved by Full Council 06 Unqualified Accounts for 2020/21 from External Audit 07 Comprehensive self-test of financial resilience and risk conducted Sept 2021	8 Medium 4x2				Director Governance and Communities
NLSR0011	Failure to safeguard vulnerable persons	1. Increase in the number of incidents requiring review by Community Safety Partnership 2. No systems in place to ensure awareness and reporting in respect of modern-day slavery, CONTEST and Child Sexual and Criminal Exploitation 3. Need for a Child Safeguarding Practice Review 4. Safeguarding Adult reviews within Adult's Service 5. A need to instigate a Community Action Plan in response 6. Service provision failure in adult/childrens' care sector 7. Unexpected outbreak of environmental or health related issue	6 Medium 3x2	25/02/2022 31/07/2022	01 Safeguarding Adults Board in place with a strategic plan 02 Children's Multi Agency Resilience and Safeguarding Board and local arrangements in place and published 03 Community Safety Partnership in place 04 Procedures for intelligence and data collation, reporting and responding to child sexual and criminal exploitation of vulnerable adults 05 Child Death Overview arrangements in place 06 Arrangements in place to instigate Community Action Plan (Suicide) 07 Local outbreak management plan and HPOMs arrangements established 08 Health protection responsibilities assigned to Health & Wellbeing Board 09 Adults' health and care standards board established 10 Quality assurance framework in place for adult services 11 Youth Justice Strategic Partnership established 12 Domestic Abuse Partnership Board in place	6 Medium 3x2				Director Adults and Health & Director Children and Families

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NLSR0007	Council unable to achieve its intended outcomes or deliver services	1. Adverse context of poor ranking identified by Government Department - reputational damage 2. Evidence of poor performance or ineffective performance processes 3. Performance/improvement narrative not shared with key stakeholders 4. Service failure and or poor service quality 5. Increase in the number of upheld complaints e.g. Ombudsman/ICO 6. The occurrence of a significant IT security/data breach 7. Lack of, or inadequate, business continuity/emergency planning arrangements	6 Medium 3x2	25/02/2022 30/06/2022	01 Council Plan that sets out the vision and outcomes 02 A financial planning process that determines level of resources to achieve Council priorities and outcomes 03 Procurement and Commissioning Plans, supported by sector specific Market Position Statements 04 Securing continuous improvement through engagement with external and peer review mechanisms 05 Published Integrated Strategic Needs Assessment used to inform strategic planning 06 A well-established performance management framework, with various levels and frequencies for reporting 07 Performance monitoring reports that are produced periodically throughout the year 08 Information Governance & ICT Security Policy Framework in place 09 Information governance and security awareness with officers and members 10 Data verification and validation processes are integrated within systems and processes. 11 The Council's ICT and Information Security Standards provide guidance on the arrangements that must be in place 12 Strategy framework in place covering e.g. Health & Wellbeing; Organisational Development; Green Future; Safeguarding 13 Robust and tested emergency planning/business continuity plans in place	6 Medium 3x2	01 Complete and publish Integrated Strategic Assessment (ISA) for 2022/23 02 Refresh Council Plan 2022-2025	31/03/2022 31/05/2022	Deputy Chief Executive	

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NLSR0006	Inadequate organisational leadership and governance arrangements in place	1. Change in political leadership 2. Change in the Leadership Team 3. Lack of experience within the Leadership Team 4. Vision and priorities not set, clearly articulated or understood 5. Lack of governance arrangements - public interest report, adverse External Audit Opinion, serious fraud case 6. Decision making mechanisms not sufficiently robust - inappropriate risk taking or risk sharing, high level of judicial reviews against the Council 7. Ineffective overview and scrutiny arrangements in place 8. An increase in allegations and complaints made against elected members - reputational damage	6 Medium 3x2	25/02/2022 30/04/2022	01 Code of Corporate Governance in place which is reviewed annually 02 Constitution that is reviewed annually 03 Scheme of Delegation in place that is reviewed annually 04 Codes of Conduct in place for Members and staff 05 Experienced Senior Leadership Team with no vacancies 06 Organisational Development Plan sets clear priorities for organisational change and focus 07 Overview and Scrutiny arrangements in place 08 Annual Governance Statement produced along with Head of Internal Audit annual opinion on governance arrangements 09 Internal Audit assurance assessment on statutory roles	6 Medium 3x2	01 Complete 2021/22 review of Code of Corporate Governance	01/04/2022	Chief Executive	
NLSR0010	Inadequate workforce planning and management to meet current and future needs	1. Key posts are vacant and/or there is a high turnover of staff 2. Council has difficulty in recruiting to priority areas 3. Lack of clarity regarding accountabilities 4. Lack of a learning and innovation culture 5. High levels of sickness absence 6. External labour market pressures	4 Medium 2x2	25/02/2022 30/06/2022	01 Organisational Development Plan sets out how the Council will improve organisational effectiveness 02 Organisational Development Outcomes Framework in place 03 People Plan in place supported by an Action Plan 04 Programme of wellbeing assessments and check ins with staff established 05 Workforce Stakeholder Groups in place including BYAW Network Group 06 Workforce Engagement Group & Learning Group in place 07 Apprentice plan and scheme in place 08 Specific training is made available through the annual Corporate Training Programme 09 Team NL induction plan in place 10 Proud to Care recruitment campaign established	4 Medium 2x2	01 Refresh Team NL induction plan 02 Take learning from Proud to Care initiative to inform recruitment strategy	30/06/2022 31/07/2022	Director Economy and Environment	

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NLSR0008	Ineffective engagement with all groups of stakeholders including citizens and service users	1. No arrangements in place to engage with stakeholders 2. Partners do not demonstrate commitment to partnership working 3. Partners do not share a collective vision/priorities for North Lincolnshire 4. Insularity or isolation 5. Other public sector bodies in North Lincolnshire have adverse inspection/regulation outcomes 6. Significant business failures and/or unexpected withdrawals of organisations/business 7. Specific gaps in the market to meet delivery requirements 8. Major area wide project/programme failed to deliver	4 Medium 2x2	25/02/2022 31/07/2022	01 Information is provided to the public about Council activities and its business in the form of News Direct 02 Established mechanisms to seek the views from individuals, organisations and businesses on a number of areas 03 Established strong partnerships with the public sector, business and community and voluntary sector across North Lincolnshire	4 Medium 2x2	01 Complete update of Consultation & Engagement Strategy	30/04/2022	Becky McIntyre	