



Strategic Risk Register Template

Likelihood	4 Almost Certain			9.	
	3 Probable			6. 7.	2.
	2 Possible			1. 3. 4. 8.	5. 10.
	1 Hardly Ever				
		1 Negligible	2 Minor	3 Major	4 Critical
		Impact			

RISK REGISTER:

REVIEWED:
 CMT 07/11/17
 Risk owners 06.02.18 CMT 08/02/18
 Risk owners 25.04.18
 CMT 08.05.18
 Reviewed 06.09.18
 Reviewed 08.10.19
 CMT 13.11.18
CMT 12.02.19

Tool 1. Risk Appetites - [U:\Current RISK Management\Toolkit - JULY 2018\Tool No 1 Risk appetites.pdf](#)

Those "green" risks that have been on the risk register for 6 months or more can now be classed as "business as usual" risk and therefore be removed

The matrix below, helps you define where the risk is by scoring it on a basis of 'Likelihood' and 'Impact':

Likelihood	4 Almost certain	Retain	Transfer Modify Retain	Avoid Transfer Modify	Avoid Transfer Modify	Description of occurrence	Occurs several times per year. It will happen.
	3 Probable	Retain	Prioritise for Modifying Retain	Transfer Modify Retain	Avoid Transfer Modify		It has happened before and could happen again.
	2 Possible	Retain	Prioritise for Modifying Retain	Prioritise for Modifying Retain	Transfer Modify Retain		It may happen but it would be unusual.
	1 Hardly ever	Retain	Retain	Retain	Prioritise for Modifying Retain		Never heard of it occurring. We can't imagine it occurring.

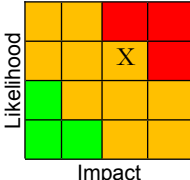
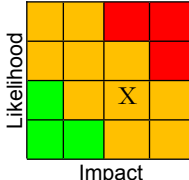
Impact	Service Delivery	Delay	Finance	Reputation	People
Critical	Very significant	>1month	>£1m	National media story	Loss of life
Major	Significant	1week - 1month	£500k - £1m.	Local media story	Serious Injuries
Minor	Major	1day - 1week	£100k - £500k	Limited Local publicity	Minor injuries
Negligible	Minor	<1day	<£100k	Little/No publicity	-

1 Negligible	2 Minor	3 Major	4 Critical
------------------------	-------------------	-------------------	----------------------

Those “green” risks that have been on the risk register for 6 months or more can now be classed as “business as usual” risk and therefore be removed from the register

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
1.	Failure to engage & influence effectively the Council’s strategic partners, council staff and all stakeholders to deliver against e.g. Council’s Vision 2020.	CX	<u>Creative & Aware</u> Projects & Major Change Partnerships	<ul style="list-style-type: none"> • New Vision 2020 including 4 new strategic priorities launched internally • Vision developed following extensive consultation with, businesses, partners and community groups. • Strong focus internally on 4 very clear strategic priorities within the Vision 2020 • Resources in MTFS directed towards strategic projects • Dedicated officer support to ensure delivery of the 3-year programme, ‘keeping the Vision alive’. • Communications plan and stakeholder mapping done • Review of internal delivery groups to ensure focus on delivery of projects • All Vision 2020 related internal comms now being clearly flagged as being Vision 2020 projects • Comms log’ now being kept, to keep abreast of all Vision 2020 comms activity – both internal and external • External launch of Vision including 	<ul style="list-style-type: none"> • High Performing Services monitoring arrangements in place • Revision of internal and external communication methods to be undertaken– Ongoing • Annual staff briefings to be undertaken March 19 • CMT to begin to develop Vision 2025 – Q1 2019-20 • Transformational Change Lead recruitment – Q4 • One Council approach rollout 20-21 • 			Substantial	Static

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
				<p>engagement with the GLLEP, Chamber of Commerce etc. –Feb 2017</p> <ul style="list-style-type: none"> • Promotion of the Vision • Continuation of partner meetings and 3rd sector - ongoing through hoarding displays • “‘Engine Room’ launched June 2017 • Annual Report with a focus on achievements towards Vision 2020 – to be sent to stakeholders by CX/Leader – Nov 2017 • Vision 2020 staff roadshows undertaken in January 2018. • Sponsorship of Lincolnshire Construction and Property Awards in February 2018 • Successful COL Vision 2020 Conference held in March 2018. • Alignment of Vision 2020 with Portfolios – May 2018 • Continue meetings with key partners following COL Vision 2020 Conferences -ongoing 					
2.	Failure to deliver a sustainable Medium term Financial Strategy (that supports delivery of Vision 2020 (Council plan))	CFO	<u>Creative & Aware/ Opportunistic</u> Finance & Money	<ul style="list-style-type: none"> • MTFs 2018-23 approved in March 2018, continues to support Vision 2020. • Good financial management with <ul style="list-style-type: none"> ◦ Quarterly monitoring and reporting to CMT, Exec and Performance Scrutiny Committee (including specific 	<ul style="list-style-type: none"> • Link to TOFS Programme, risk no 3 below. • Continued assessment of future funding reforms, including The Fair Funding Review, reset of business rates baselines and 75% retention of business rates – Ongoing – • Implementation of 			Substantial	Static

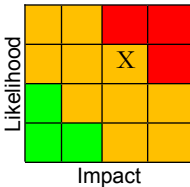
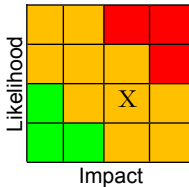
Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
				<ul style="list-style-type: none"> risks) <ul style="list-style-type: none"> o SPIT monitoring of capital programme o Savings targets monitored through Towards Financial Sustainability (Risk No 4) o Key income budgets monitored monthly by CMT with mitigation plans for areas of target monitored quarterly. • 100% Business Rates Pilot in place for 2018/19 with all Lincolnshire Districts together with the County and North Lincolnshire Council.. • Mitigation action plan developed in response to forecast overspend reported at Q1, specifically car parking • Budget Strategy including review of assumptions and budget pressures to be prepared – Sept 18 BR Pilot Bid for 2019/20 submitted Sept 18 – Bid unsuccessful • Review of earmarked reserves to release one-off resources – Oct 18 	<ul style="list-style-type: none"> action plans developed in response to Q1 forecast overspend – ongoing • Draft MTFS 2019-24 prepared, with increased savings targets, subject to final approval – Mar 19 • Proposals for Crematorium business case in progress – Mar 19 • 				
3.	Failure to deliver the Towards Financial Sustainability Programme whilst ensuring the resilience of the Council	CFO	<p>Opportunist</p> <p>Projects & Major Change</p> <p>Hungry</p> <p>Reputation</p>	<ul style="list-style-type: none"> • TFS Board and Programme Team in place. • Established procedures and monitoring arrangements • Reporting of achievement against targets included within 	<ul style="list-style-type: none"> • Monitor delivery of Phase 5 Programme through established arrangements – ongoing • Development of a high level commercial strategy, – Mar 19 • Investment Strategy for 			Substantial	Static

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
			and Public Confidence	<ul style="list-style-type: none"> quarterly financial monitoring/performance monitoring reports to Executive/Performance Scrutiny Committee Inclusion of ToFS Projects on DMT agendas to ensure focus remains on delivering against timescales. Annual reporting of progress and forward programme PSC Programme of reviews in place and monitored monthly through Board and Team. Target of £3.5m for 2017/18 overachieved. Savings targets increased as part of MTFS 2018-23. Delivery of Phase 5 (designed to overachieve targets in MTFS) commenced in November 2017. Phase 6 proposals developed to achieve increased targets – Dec 18 	<ul style="list-style-type: none"> property acquisition developed, subject to approval– Mar 19 Linkages to Organisational Development and Leadership Development to be explored – Mar 19 Project plans and programme mapping for Phase 6 to be prepared – Mar 19 				
4..	Failure to ensure compliance with statutory duties / functions and appropriate governance arrangements are in place,	CLT	Cautious Regulatory standing & legal compliance	<ul style="list-style-type: none"> Annual Governance Statement reviewed on an annual basis with plan/milestones developed for all significant issues, delivery of which is monitored quarterly through the Assistant Directors Team/Audit Committee Internal audit reviews undertaken as part of 	<ul style="list-style-type: none"> Waiting outcome of HSE inspection – expected end Q4 			Substantial	Static

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
				<ul style="list-style-type: none"> • annual audit plan • Health and Safety Development Plan/Work Programme in progress (includes the development of specific action plans e.g Asbestos • Corporate Groups in place which monitor work programmes/ actions for H&S, e.g, Safety Matters Review Group/Champions • Information Asset Register created and updated Retention schedules. • Continued progression of GDPR Action Plan and Training Needs Plan • ITDR plan endorsed and now needs testing which is to be scheduled in new financial year. Internal Audit completed with actions referred to BCP Group for consideration • Good progress on supporting IT DR with Business Continuity work • All Information Management Polices reviewed, updated and approved May 18. To be rolled out to staff Sept 18. • GDPR guidance provided to all Members May 18 and training for new members. All members to receive training 11.10.18. 					

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
5.	Failure to protect the local authority's vision 2020 due to changing structures in local government and impact on size, scale and scope of the Council	CX	<u>Opportunist</u>	<ul style="list-style-type: none"> Information gathering and a watching brief on national and local developments Formation of RLG Group (Reshaping Local Government) has been formed and meets regularly to review local and national developments, which continue to be monitored regularly. This includes the proposed business rate retention consultation, and any proposals for fairer funding arrangements. 	<ul style="list-style-type: none"> Information gathering and a watching brief on national and local developments – ongoing. Reviewing a range of policies, statistics and potential scenarios and keeping a watching brief nationally 			Substantial	Static
6.	Unable to meet the emerging changes required in the Council's culture, behavior and skills to support the delivery of the council's Vision 2020 and the transformational journey to one Council approach	CS	<u>Opportunist</u>	<ul style="list-style-type: none"> Leadership development delivered to CMT, Assistant Directors and Service Managers Lead roles within HR developed for Health and Wellbeing and Performance. New People Strategy and action plan developed, approved March 2017 New appraisal system implemented – June 2017 Coaching Programme for CMT, Assistant Directors and Service Managers to be delivered – started August 2017 Volunteering programme rolled out to support people strategy enhance staff wellbeing and corporate social responsibility– CLT in Nov-Dec 2017 Registration of Virgin Corporate Global Challenge for staff – May 2018 Sickness Clinics to be progressed in areas of concern– June 2018 CMT workshop to review People Strategy – October 2018 Global challenge award event to be held end of October 19 	<ul style="list-style-type: none"> Implementation of People Strategy action plan – annual review. Transformation lead recruitment scheduled to support "One Council" approach – February 19 Staff Recognition scheme in progress – first winners to be announced March 2019 Award submissions to LGC and MJ to promote rising stars and recognize the work of our teams – March 19 East Midlands Challenge Team put forward for future development opportunities – March 19 Service planning 20-21 to help identify skill requirements moving forward Review wider Leadership requirements to support new Lincoln Leader model – Q1 20-21 			Substantial	Static

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
7.	Insufficient levels of resilience and capacity exist in order to deliver key strategic projects & services within the Council	CX	<u>Creative & Aware / Opportunist</u> Projects & Major Change	<ul style="list-style-type: none"> BCP Plans in place for critical services New Vision 2020 launched, with associated 3 year programme, forming basis of service plans and priorities Strategic Projects reported on a quarterly basis to CMT/Exec/PSC Programme Boards established for key strategic projects. MTFS 2018-23 allocates resources in line with Vision 2020. Lincoln Project Management model in place including allocation of Project Managers, Sponsors, appropriate project management records and Identification of critical tasks within specific project plans Regular reporting of other all Strategic Plan schemes Development of skills and abilities of key leaders and staff through Leadership Development Programme Appointments have been made and Officers are in post for the two vacant Assistant Directors in Housing & Regeneration Interim Assistant Director – Strategic Development is in post. Priority setting for Phase 2 projects, 2018/19 – 2019/20 commenced through CMT and Portfolio Holders Vision 2020 Phase 2 projects agreed and work allocations within Directorates reviewed Health and Wellbeing group being set up with staff to support People Strategy – 	<ul style="list-style-type: none"> Recruitment to AD Growth (external advert March 2019) Recruitment to Transformation Lead to support “One Council” approach – March 19 Recruitment to Strategic Project Manager – Feb/March 19 			Substantial	Static

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
				<ul style="list-style-type: none"> Ongoing Recruitment of vacant Director of Housing & Investment – Sept 18 Management restructure approved by Executive 					
8.	Decline in the economic prosperity within the City Centre	CLT	<u>Opportunistic</u>	<ul style="list-style-type: none"> COLC representatives continue to sit on Bailgate Guild/Healthy High Streets/Chamber of Commerce etc City Stakeholder Group set up with MP/Police and third sector organizations to review pathways into support – Sept 2017 City Centre Masterplan in place Public Realm Strategy in place Townscape Assessment has been undertaken Range of partner developed strategies in place <input type="checkbox"/> New intervention team set up to support rough sleeping/homelessness/street begging – October 2018 Rollout of Business Growth Policy – Q2 <input type="checkbox"/> 	<ul style="list-style-type: none"> Research work in the city continues to understand the causes of the increases in rough sleeping and ASB. Markets Business case developed – March 2019 Review of Cities Masterplan/ongoing work with Central Lincs Review Public Arts Strategy – January 2019 Development of a programme of activity/investment to support the vibrancy of the city centre – Q3 Newly set up High Street Task Force now in place – continue to scope and monitor actions required Work on “evening economy” to commence January 2019 Review /engage with government on Future High St Fund – bid submission by 22 March Working Together on tackling Homelessness Conference (working with a range of partners) scheduled for March 2019 Ongoing “Be Lincoln” campaign 			Limited	Static

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
9.	Failure to mitigate against the implications for the Council following the outcome of Brexit	CX	Cautious Regulatory standing & legal compliance	<input type="checkbox"/> Internal working group focusing on BCP established, liaising with CMT/Leadership <input type="checkbox"/> Attendance at Brexit Strategic Gold Command (SGC) meetings to consider the implications of a No Deal Brexit and its impact on Lincolnshire	<ul style="list-style-type: none"> 19-20 to support promotion of place SCG conference calls scheduled with relevant Gold Command Officers at COLC – Jan – April 2019 Regular updates provided by officers at CMT following SGC meetings - Ongoing Localised Brexit exercise to be scheduled by LRF with partners/organisations – Feb 2019 Liaison with LCC and other districts to ensure common approach – ongoing Internal action plan/risk register to be developed - February 2019 Continued Information gathering from a wide range of sources including government/LRF/East Mids Councils and a watching brief on national and local developments. – ongoing Internal working group set up to understand impacts on residents/governance including current partnerships/contracts pending delay of Brexit vote/Article 50 Work ongoing to understand impact on pending 			Limited	N/A

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
					<i>election in May 19</i>				
10.	Failure to deliver key strategic projects i.e <ul style="list-style-type: none"> WGC New build project Crematorium Dewint Court 	CMT	Cautious Regulatory standing & legal compliance Projects & Major Change	<input type="checkbox"/> Relevant Boards are in place to monitor key milestones including financial/reputational and resource and partnership implications <input type="checkbox"/> Effective communication plans /risk registers which are owned and understood	<ul style="list-style-type: none"> Thorough shared understanding of implications of delivery and non - delivery. Use of external experts for advice and independent review 			Substantial	-