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| **Risk No**: R01 – Service Delivery  | **Risk Owner**: Chief Executive / Deputy Chief Executive  | **Date**: Jan 2021 |
| **Risk Description**: The ability of the council to continue its service delivery is either halted or scaled back as a result of major incidents such as cyber-attacks, pandemics.  |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
| * Business Continuity Planning & Management / BCP arrangements.
* Emergency Planning and Management / EP arrangements.
* Emergency and Business Continuity Planning arrangements e.g. COMAH, flu, flood (external plans)
* IT Business Continuity / Disaster Recover planning including home working solution in place as appropriate.
* National, regional and local security plans including Command & control structure.
* Government Guidance in respect of provision of Grants / operation of services during any periods of lockdown actioned and implemented.
* Provision of support from Council services as appropriate.
* COVID -19 working practices and procedures in place in line with Government guidance e.g. handwashing, agile working etc.
* Regular updates with government regarding additional funding, reviewing areas of non-essential spend and loss of income as part of budget monitoring processes, mitigating risk through review of reserves as part of MTFS.
* Creation of services / partnership working / work with faith, community and voluntary sector to provide support for businesses and households.
 | *Likelihood* | *Impact* | Medium |
| 3 | 3 | **Risk Category** |
|  |  | * Financial
* Information
* Technological
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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| Ensure BCP are reviewed and maintained up to date, including criticality service and role identification and identification of Council's vulnerable Officers. |  Senior Risk and Insurance Officer  | 31/03/2021 |
| Review Disaster Recovery / Business Continuity plan for IT, ensure homeworking model is maintained, and address any learning points.  | Director of Customer and Digital | 31/03/2021 |
| Ensure Government guidance / operational change to services are implemented appropriately. | Deputy Chief Executive | Ongoing  |
| Review processes implemented to ensure controls in place and risks mitigated. | Head of Audit/risk | 31/03/2021 |
| In-year budgets and MTFS reviewed to identify and release necessary resources to implement mitigating actions, this includes a review of staffing | Deputy Director of Finance | Ongoing  |

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| **Risk No**: R02 – Corporate Governance Failure | **Risk Owner**: Director of Governance | **Date**: Jan 2021 |
| **Risk Description**: Failure to implement and maintain the corporate governance framework action plan leading to continued fundamental weaknesses in internal controls  |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
| * AGS Action plan.
* Transformation Strategy.
* Council Constitution & Codes of Conduct.
* Member and Officer Protocols.
* Local Code of Corporate Governance Framework in place.
* Constitution, including Financial Procedure Rules and Contract Procedures Rules.
* Internal Audit Plan.
* Individual Audit Reviews.
* CPR Training.
 | *Likelihood* | *Impact* | Medium |
| 2 | 3 | **Risk Category** |
|  |  | * Legal/regulatory
* Reputational
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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| Develop more inclusive approach to development & production of AGS | Director of Governance | 31/12/2021 |
| Review and align areas of Constitution as required and Codes of Conduct. | Director of Governance | 31/03/2021 |
| Ensure Member & Officer protocols maintained up to date and aligned for Shared Services as required. | Director of Governance | 31/03/2021 |
| Revise Local Code of Corporate Governance, update and align to CIPFA / SOLACE requirements | Director of Governance | 31/12/2021 |
| Review Financial Procedure Rules | Deputy Director of Finance | 27/01/2021 |
| Ensure Audit Plan 2020/21 includes work that contributes to ensuring robust governance framework in place | Principle Auditor | Jan-21 |
| Follow up reviews from 2019/20, to ensure Management Actions implemented | Principle Auditor | 31/03/2021 |
| Provision of Governance training for all staff. | Director of Governance | In progress |
| Implement Process for follow up of Management Actions for all Audit reviews undertaken in 2018/19 and 2019/20. | Principle Auditor | 31/03/2021 |

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| **Risk No**: R03 – Financial Stability  | **Risk Owner**: Director of Finance / Deputy Director of Finance | **Date**: Jan 2021 |
| **Risk Description**: Reduction in current funding streams including government grant and key public sector and third party partners |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
| * Budget forecasting within MTFS; 5 year MTFS aligned with 3 year Corporate Plan
* Monitoring / reporting of delivery of Corporate Plan and MTFS.
* Financial training of officers and members
* Maintenance of high Council Tax / Business Rates collection rates
* Existing relationships with public sector partners
* Contingencies / reserves regularly reviewed.
* Budget monitoring arrangements in place
 | *Likelihood* | *Impact* | Medium |
| 3 | 3 | **Risk Category** |
|  |  | * Financial
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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| Implement Strategic asset review actions | Director of Planning and Property / Assistant Director of Projects and Development | 31/03/2021 |
| Ensure MTFS aligned to Corporate Plan. Ensure Corporate plan budget / spend monitored and managed. | Deputy Director of Finance | End of 2021 |
| Maintain financial training for all relevant staff | Deputy Director of Finance | 31/12/2021 |
| Review budget monitoring / management arrangements, ensure compliance with financial procedure rules | Interim Head of Shared Assurance/ Deputy Director of Finance | 31/12/2021 |
| Identify, implement and review proposed efficiency savings and income generation proposals that support the MTFS and Corporate Priorities  | Deputy Director of Finance | 24/02/2021 |

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| **Risk No**: R04 – Management of capital programme and capital funding | **Risk Owner**: Director Finance/ SRO's | **Date**: Jan 2021 |
| **Risk Description**: Poor management and monitoring of capital funding to deliver large scale improvements to the corporate plan - ensuring that is on track and up to date and projects delivered within agreed timescales and budget. |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
| * Capital Funding reflects priorities in Corporate Strategy.
* Quarterly monitoring of capital programme and funding to Programme Board.
* Quarterly budget and performance monitoring reports presented to Cabinet.
 | *Likelihood* | *Impact* | Medium |
| 3 | 3 | **Risk Category** |
|  |  | * Financial
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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| Strong partner relationships  | Chief Executive  | 31/12/2021 |
| Regular monitoring of capital projects with project leads and finance team, including quarterly reporting to members, early identification and reporting of changes to projects budgets, project delivery timescales and funding arrangements    | Shared Service Lead - Transformation and Partnerships / Deputy Director of Finance/ Directors  | 31/01/2021 |
| Finance team meet regularly with services to update funding arrangements of capital programme including identifying alternative sources such as CIL, S106 and grant funding bid | Directors/ Deputy Director of Finance | 31/03/2021 |

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| **Risk No**: R05 - External legislation and policy change | **Risk Owner**: Director of Governance | **Date**: Jan 2021 |
| **Risk Description**: Failure to account for and/or respond to external legislation and policy change for example those brought about by BREXIT, Universal Credit, GDPR , local government transformation, Green agenda. |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
| * Regular policy reviews by relevant officers within individual services.
* Circulation of regular policy and legislation briefings
* Proactive arrangements to respond to consultations from central government departments and agencies
* Officer and Member induction and training, CPD and attendance on relevant training courses specific to service areas.
* Maintenance of interaction with partner agencies.
 | *Likelihood* | *Impact* | Medium |
| 2 | 4 | **Risk Category** |
|  |  | * Legal
* Regulatory
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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| GDPR Group  | Head of Customer Experience | 31/03/2021 |
| Services to review and maintain necessary membership of professional bodies and other associations  | Directors | 31/03/2021 |
| Deliver green agenda project  | Environmental Health Officer (Lead on Green Project) | 31/12/2021 |

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| **Risk No**: R06 - Staff capacity and skills | **Risk Owner**: Deputy Chief Executive | **Date**: Jan 2021 |
| **Risk Description**: Lack of staff capacity and/or skills to enable the Council to deliver large-scale capital projects to support the Corporate Strategy. |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
| * Approved Transformation Strategy and action plan.
* Organisational Development.
* Approved policies such as Pay / Recruitment Policies.
* Employee benefits kept under review.
* Staff and member development / PDR's.
* Workforce Strategy.
* Resilience from shared service arrangements.
 | *Likelihood* | *Impact* | Low |
| 2 | 2 | **Risk Category** |
|  |  | * Human Resources
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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| Review transformation strategy and action plan | Shared services Lead - Transformation and HR  | 31/12/2021 |
| Management restructure as part of Shared Services, ensure accountability and responsibility is allocated and owned. | Chief Executive | 31/31/21 |
| HR Policies to be reviewed and aligned as part of Shared Services arrangements | Shared services Lead - Transformation and HR  | Ongoing  |
| Revised PDR process in place 2019/20, to be further embedded in 2020/21 | Shared services Lead - Transformation and HR  | 31/03/2021 |
| Continuous Development of Shared Services arrangements | Chief Executive | 31/12/2021 |

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| **Risk No**: R07 - ICT security and data protection | **Risk Owner**: Director of Customer and Digital | **Date**: Jan 2021 |
| **Risk Description**: Failure to comply with GDPR regulations and data legislation leading to action taken against the council, including reputation and legal action resulting in fines. |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
| * ICT security / Cyber Security arrangements; GDPR / Data Protections policies and arrangements in place ; Information Security Policies in place.
* Information Security Policies and Procedures in place.
* PSN accreditation / ICT security testing / ICT security firewall testing.
* IT Digital Strategy / Digital Strategy Programme and Projects / Annual ICT work programme.
* SOCITIM review implementation .
* Disaster Recovery / Business Continuity Plan and arrangements. Data backup and recovery arrangements and agreements.
* Member & Officer Policies and Training in place.
* Regular audits of compliance / governance arrangements undertaken.
 | *Likelihood* | *Impact* | Medium |
| 2 | 4 | **Risk Category** |
|  |  | * Technological
* Information
* Legal/regulatory
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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| Review DR / BC arrangements for compliance. Review Data backup and recovery arrangements for compliance and effectiveness. | Interim Head of Shared Assurance  | 31/12/2021 |
| Continue regular introductory and refresher training as required  | Director of Customer and Digital | Ongoing |
| Actions arising from GDPR audit review to be implemented; Management actions to be monitored and reported back to Leadership Team and Governance Committee as appropriate. | SIRO (Director of Customer and Digital)/ Interim Heads of Shared Assurance/ All Information Asset Owners | 31/03/2021 |

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| **Risk No**: R08 - Strategic partnerships | **Risk Owner**: Chief Executive / Deputy Chief Executive | **Date**: Jan 2021 |
| **Risk Description**: Failure to achieve desired outcomes through strategic relationships including City Deal. |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
| * Key Strategic Partnership Frameworks & Agreements in place.
* Shared Governance arrangements in place and agreed to including agreed aims and objectives; Joint working protocols.
* Partnership Boards including representatives from the Council.
* Agreed Structures and appropriately allocated responsibilities and accountabilities.
* Partnership reviews and performance monitoring arrangements in place.
 | *Likelihood* | *Impact* | High |
| 3 | 4 | **Risk Category** |
|  |  | * Strategic
* Partnership/contractual
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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| Review Council's Partnership Framework Policy / Strategy and ensure up to date | Shared Service Lead - Transformation and Partnerships | 31/03/2021 |
| Review Governance arrangements to ensure operating effectively | Director of Governance | 31/03/2021 |
| Review of councils continued involvement - City Deal  | Director of Planning and Property | 31/03/2021 |

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| **Risk No**: R09 - Agile services (consideration post COVID - 19) | **Risk Owner**: Deputy Chief Executive | **Date**: Jan 2021 |
| **Risk Description**: Failure to adapt business models and services to reflect changes In the way people interact and do business with the council (including consideration of communities post Covid-19, impact of local economy and council services). |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
| * Transformation Board.
* ICT Digital and Customer Strategies.
* Business planning.
* Digital Inclusion Strategy.
 | *Likelihood* | *Impact* | Medium |
| 4 | 2 | **Risk Category** |
|  |  | * Operational
* Technological
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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| Continuation of Digital to improve projects. | Director of Customer and Digital | 31/12/2021 |
| Undertake residents survey to understand the needs of residents post-covid  | Shared Service Lead - Transformation and Partnerships | 31/12/2021 |
| Deliver effective business planning process 2021/22 | Shared Service Lead - Transformation and Partnerships | 31/05/2021 |
| Implementation of ICT Digital Strategy, Customer mapping | Director of Customer and Digital | 31/12/2021 |
| Review Customer Strategy | Director of Customer and Digital | 31/12/2021 |

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| **Risk No**: R10 - Council's reputation | **Risk Owner**: Director of Governance | **Date**: Jan 2021 |
| **Risk Description**: Damage to the Council's reputation and potential reduction in resident satisfaction |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
| * Effective Governance and decision making arrangements in place
* Communication and Engagement with local stakeholders, businesses and residents
* Compliments and complaints policy and procedure in place
* Monitoring of social media and response
* Resident satisfaction survey
* Planning policies
 | *Likelihood* | *Impact* | Low |
| 2 | 2 | **Risk Category** |
|  |  | * Reputational
 |

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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| Review Local Code of Corporate Governance and ensure compliance with CIPFA / SOLACE requirements. | Director of Governance | 30/06/2021 |
| Refresh and implementation of the new Communications Strategy | Shared Service Lead - Communications and Visitor Economy  | 31/12/2020 |

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| **Risk No**: R11 - Shared service arrangements | **Risk Owner**: Chief Executive | **Date**: Jan 2021 |
| **Risk Description**: Failure of existing shared service arrangements/failure to expand shared service arrangements |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
| * Strategic partnership Framework.
* Effective Governance arrangements in place.
* Agreement of Executives at both Council's.
* Regular engagement with trade unions as part of the shared services development.
* Phased approach Plan developed and agreed.
 | *Likelihood* | *Impact* | Low |
| 1 | 2 | **Risk Category** |
|  |  | * Operational
* Partnership/contractual
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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| Deliver phase 2 shared services  | Shared Service Lead - Transformation and Partnerships | 31/12/2021 |

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| **Risk No**: R12 - Staff satisfaction and morale | **Risk Owner**: Shared Service Lead - Transformation and Partnerships | **Date**: Jan 2021 |
| **Risk Description**: Reduction in staff satisfaction and morale with the Council including increase in sickness absence. |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
| * OD Strategy.
* HR processes in place (inc PDPs for development).
* Staff communications.
 | *Likelihood* | *Impact* | Medium |
| 2 | 3 | **Risk Category** |
|  |  | * Human Resources
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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| Gather staff sickness stats to inform processes  | Shared Service Lead - Transformation and Partnerships | 31/03/2021 |
| Refresh internal comms strategy (incl work through Listening Day working groups) | Shared Service Lead - Communications and Visitor Economy  | 28/02/2021 |

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| **Risk No**: R13 – Political relationships | **Risk Owner**: Director of Governance | **Date**: Jan 2021 |
| **Risk Description**: Failure to maintain political stability and Officer-Member relationships. |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
| * Reviewed Democratic service.
* Portfolio reviews.
* Regular Member briefings.
* Clear Corporate Strategy priorities.
* Regular Leader briefing.
 | *Likelihood* | *Impact* | Medium |
| 3 | 2 | **Risk Category** |
|  |  | * Operational
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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| Review constitution to review formality  | Director of Governance | 31/12/2021 |
| Member training  | Director of Governance | 31/12/2021 |
| Updating Member code of conduct and investigation procedure  | Director of Governance | 31/12/2021 |

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| **Risk No**: R14 - Council performance | **Risk Owner**: Shared Service Lead - Transformation and Partnerships. | **Date**: Jan 2021 |
| **Risk Description**: Failure to sustain performance of corporate strategy projects and general organisational performance  |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
| * Quarterly performance monitoring .
* Quarterly performance report to Exec Cab.
* Business planning.
* Local indicators.
* Programme Board.
* Refreshed performance management framework.
* Transformation plan.
 | *Likelihood* | *Impact* | Low |
| 2 | 2 | **Risk Category** |
|  |  | * Operational
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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| Performance management training for management/ staff  | Performance and Partnerships Team Lead | 31/12/2021 |

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| **Risk No**: R15 - Data breach or action leading to complaints or ICO investigation | **Risk Owner**: Director Neighbourhood and Developments | **Date**: Jan 2021 |
| **Risk Description**: Shared system arrangements to facilitate South Ribble Together Hub (Covid) with Citizens Advice leading to poor service or data breach leading to financial penalty and reputational harm. |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
| * Data sharing agreement setting out clear responsibilities in place
* Data impact assessment completed and signed off by DP officer
* Access to Firmstep is limited and set by profiles.
* All users have training on GDPR and this is recorded and evidence retained.
* All users have training on systems.
* All users have received briefings and copies of the councils policies relating to data protection and use.
* Users are supervised by experienced Citizen Advice officers.
 | *Likelihood* | *Impact* | Low |
| 4 | 1 | **Risk Category** |
|  |  | * Legal / Regulatory
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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| South Ribble Community Development officers are checking Firmstep to ensure data is recorded correctly | Community Development Manager | Ongoing daily |
| Regular evaluation meetings taking place between SRBC and CAB to identify any challenges and how these can be overcome | Community Development Manager | Ongoing daily |

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| **Risk No**: R16 - Brexit | **Risk Owner**: Deputy Chief Executive | **Date**: Jan 2021 |
| **Risk Description**: Potential detrimental impact of Brexit upon service delivery or costs |

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| **Existing Controls**  | **Residual Risk Score** | **Risk Rating**  |
|  | *Likelihood* | *Impact* | Medium |
| 4 | 2 | **Risk Category** |
|  |  | * Legal / Regulatory
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| **Further Action Required** | **Officers Responsible** | **Target Date for Completion**  |
| Review of current policies and procedures once full impact of Brexit is known (H+S, planning, procurement etc) | Directors  | 31/03/2021 |
| Senior Management to be aware of potential impact on their services | Directors  | 31/03/2021 |
| Complete Brexit risk register in place  | Directors  | 31/03/2021 |