

Appendix A - South Ribble Strategic Risk Register (January 2022)

The table below outline the risks contained within the current SSR. This includes the risk descriptions, owners, and scores as well as suggested amendments for the 2021 register:

Risk	Risk Description	Risk Owner	Inherent Risk Score	Existing Control Measure	Existing Control Measure Description	Residual Risk Score	Risk Category	Target Risk Level	Action Plan Title	Action Plan Description
R01 Incidents Impacting Service Delivery	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.	Gary Hall (CEO)	16	Business Continuity Planning & Management / BCP arrangements.	Business Continuity Planning & Management / BCP arrangements are in place and maintained.	9	Risks associated with financial planning & control Risks associated with technology Risks relating to information held	6	Business Continuity Plans	Ensure BCP are reviewed and maintained up to date, including criticality service and role identification and identification of Council's vulnerable Officers. This review should take place annually.
				Emergency Planning and Management / EP arrangements	Emergency Planning and Management / EP arrangements are in place and are maintained.					
				Emergency and Business Continuity Planning arrangements e.g COMAH, flu, flood (external plans)	Emergency and Business Continuity Planning arrangements e.g COMAH, flu, flood (external plans) are in place and are maintained.				Disaster Recovery / Business Continuity plan for IT	Review Disaster Recovery / Business Continuity plan for IT, ensure homeworking model is maintained, and address any learning points.
				IT Business Continuity / Disaster Recover planning	IT Business Continuity / Disaster Recover planning including home working solution in place as appropriate.					
				National, regional and local security plans including Command & control structure	National, regional and local security plans including Command & control structure are in place.					
				In year budgets and MTFS reviewed	Process are in place to review in-year budgets and MTFS to identify and release necessary resources, including staffing, to implement mitigating actions.					
				Provision of support from Council services as appropriate.	Council services are available to provide support as appropriate.					

				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	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.	Creation of services / partnership working / work with faith, community and voluntary sector to provide support for businesses and households.						
R02 Failure to Deliver Outcomes through Strategic Partnerships	Failure to achieve desired outcomes through strategic relationships including City Deal	Chris Sinnott (Deputy Chief Executive (Chorley and South Ribble))	16	Agreed Structures	Agreed Structures and appropriately allocated responsibilities and accountabilities are in place for all strategic partnerships	9	Risks impacting on the achievement of corporate objectives and priorities Risks relating to the failure of partners/contractors or the contract itself	4	Governance Arrangements	Review Governance arrangements of strategic partnerships to ensure operating effectively	
				Key Strategic Partnership Frameworks and Agreements	Key Strategic Partnership Frameworks and Agreements in place including regular reviews and performance monitoring				City Deal	Review of councils continued involvement - City Deal	
				Shared Governance Arrangements	Shared Governance arrangements in place and agreed to including agreed aims and objectives; Joint working protocols						
				Partnership Boards	Partnership Boards including representatives from the Council						
R03 Poor Financial Sustainability	Reduction in current funding streams including government grant and key public sector and third party partners	Louise Mattinson (Director of Finance)	12	3 Year Budget forecasting within MTFS	3 Year Budget forecasting within MTFS	9	Risks associated with financial planning & control	6	Strategic asset review actions	Implement Strategic asset review actions	
				Monitoring / reporting of delivery of Corporate Plan and MTFS	Monitoring / reporting of delivery of Corporate Plan and MTFS to corporate management and members.						
				Financial training of officers and members	Financial training of officers and members included as part of service business plan					Budget management	Review budget monitoring / management arrangements, ensure compliance with financial procedure rules
				Maintenance of high Council Tax / Business Rates collection rates	Maintenance and monitoring of high Council Tax / Business Rates collection rates- use of system automation to increase staff capacity to focus on recovery					Efficiency and	Identify, implement and review proposed efficiency

				Existing relationships with public sector partners	Existing relationships with public sector partners including Shared Strategic Partnership to support strategic priorities and enable efficiencies across the public sector			income generation-transformation savings	savings and income generation proposals that support the MTFS and Corporate Priorities	
				Budget monitoring arrangements in place	Budget monitoring arrangements in place to ensure regular reviews including of contingencies and reserves					
				Transformation Strategy	Strategy in place to identify opportunities for efficiency and income generation					
R04 Poor Management of Capital Programme and Capital Funding	Poor management and monitoring of capital funding and expenditure 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	Mark Lester (Director (Commercial and Property))	12	Capital Funding reflects priorities in Corporate Strategy	Capital Funding reflects priorities in Corporate Strategy	9	Risks associated with financial planning & control Risks relating to the failure of partners/contractors or the contract itself	4	Update funding arrangements as part of quarterly budget monitoring to members and standing item on Leader Briefing	Finance team to meet regularly with services to update funding arrangements of capital programme including identifying alternative sources such as CIL, S106 and grant funding bid
				Quarterly monitoring of capital programme, funding, budget and performance to Programme Board	Quarterly monitoring of capital programme, funding, budget and performance to Programme Board. Early identification and reporting of changes to projects budgets, project delivery timescales and funding arrangement					
				Contract Management	Project team leads assigned to lead on and oversee contract management responsibilities with external funding programmes.			Membership of professional bodies and other associations	Services to review and maintain necessary membership of professional bodies and other associations such as RTPI, RICS and CIOH	
				Shared Services Staffing	Access to temporary staffing resource through an informal arrangement related to shared services with Chorley Council. This provides additional capacity to help manage capital projects					
R05 Not Responding to External Legislation and Policy Change	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	Chris Moister (Director of Governance)	12	Regular policy reviews by relevant officers within individual services.	Regular policy reviews by relevant officers within individual services.	8	Risks relating to the reputational risks to the Council Risks relating to information held Risks relating to Legal/Regulatory requirements	4	Transformation Strategy	Review transformation strategy and programme to ensure opportunities in local government transformation are considered
				Circulation of regular policy and legislation briefings	Circulation of regular policy and legislation briefings in service areas, weekly briefings from LGA.					

				Proactive arrangements to respond to consultations from central government departments and agencies	Proactive arrangements in local service areas 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.	Learning and development protocols and budget in place to ensure officer and member induction and training, CPD and attendance on relevant training courses specific to service areas.					
				Maintenance of interaction with partner agencies.	Maintenance of interaction with partner agencies in local service areas and Strategic Partnerships.					
R06 Lack of Staff Capacity and Skills	Lack of staff capacity and/or skills (including as a result of issues in relation to recruitment) to enable service delivery or for the Council to deliver large-scale capital projects to support the Corporate Strategy	Chris Sinnott (Deputy Chief Executive (Chorley and South Ribble))	12	Management restructure	Senior management restructure carried out as part of shared services has increased senior management capacity and allocated clear responsibilities for different functional areas	4	risks associated with recruiting, retaining and motivating staff & developing skills;	2	People Strategy	Develop a People strategy focussed on developing skills and expertise within the organisation and ensuring that succession planning arrangements are in place
				Organisational Development	Organisational Development strategy and budget to identify training needs, deliver training, and support staff to deliver capital and corporate strategy projects				New Recruitment System	New recruitment system to deliver an improved candidate experience and encourage applications for roles
				Reviewed HR policies including Pay / Recruitment Policies	Approved policies such as Pay / Recruitment Policies to help retain and attract skilled staff. This includes the use of market supplements where required.				Shared Services arrangements	Continued Development of Shared Services arrangements in line with discussion with Members to support additional resilience and shared capacity for the organisation
				Employee benefits kept under review	Employee benefits kept under review to help retain skilled staff				Workplace strategy	Workplace strategy to support agile and flexible working to attract and retain skilled staff
				Staff and member development / PDR's	Staff and member development / PDR's to identify training and skills needs					
				Resilience from shared service arrangements.	Resilience from shared service arrangements to support capacity in shared teams and across the organisation.					
R07 Failure of ICT Security and Data Protection	Failure to comply with GDPR regulations and data legislation leading to action taken against	Asim Khan (Director (Customer & Digital))	12	Security Arrangements and Policy	ICT security / Cyber Security arrangements; GDPR / Data Protection policies and arrangements in place	8	Risks associated with technology Risks relating to information held	4	Data Backup	Review DR / BC arrangements for compliance. Review Data backup and recovery arrangements for compliance and effectiveness.

	to action taken against the council, including reputation and legal action resulting in fines.			Information Security Policies and Procedures	Information Security Policies and Procedures in place to ensure employee compliance with security practices				
				Security Testing	PSN accreditation / ICT security testing / ICT security firewall testing.			Training	Continue regular introductory and refresher training as required to ensure staff and member awareness including for cyber attacks
				Business Continuity Arrangements	Disaster Recovery / Business Continuity Plan and arrangements. Data backup and recovery arrangements and agreements			GDPR Audit Review	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.
				SOCITIM Review	SOCITIM review implementation				
				Government guidance and briefings	Government guidance and briefings including membership of security forums				
				Cyber security capacity	Resource for specialised cyber security in place through the shared ICT restructure			Digital Strategy, ICT Strategy and Annual ICT work programme in place	Continual improvements to ICT security including ICT infrastructure, and more secure end user devices
				Audit and Governance	Regular audits of compliance / governance arrangements undertaken				
R08 Failure to Recover Effectively from Covid-19	Failure to adjust our practices and services to reflect the impact of the Covid-19 pandemic.	Gary Hall (CEO)	12	Government Guidance in respect of provision of Grants / operation of services during any periods of lockdown actioned and implemented.	Government Guidance in respect of provision of Grants / operation of services during any periods of lockdown actioned and implemented.	8		6	
				COVID -19 working practices and procedures in place	COVID -19 working practices and procedures in place in line with Government guidance e.g handwashing, agile working etc to ensure Council recovers effectively from Covid-19 and service delivery is not impacted				
R09 Not Apapting to New Ways of Working	Failure to adapt business models and services to reflect changes In the way people interact and do business with the	Chris Sinnott (Deputy Chief Executive (Cherlev	12	Digital and Customer Strategies	Digital and Customer Strategies in place to set out the development of agile services and support their successful delivery through digital inclusion. Supporting stakeholders to adapt to new ways of working	6	Risks associated with technology Risks relating to operational activity	4	Workplace strategy Delivery of workplace strategy to ensure the processes, technology and culture are in place to support agile and flexible working

	Business with the council (including consideration of communities post Covid-19, impact of local economy and council services)	(Chorley and South Ribble))		Business Planning	Business planning process in place with annual review to consider how business models should be adapted to reflect changes in the community			Residents Survey	Undertake residents survey to understand the needs of residents post-covid	
				Transformation Strategy	Transformation Strategy in place to identify opportunities for new ways of working			Digital Strategy	Implementation of Digital Strategy and ICT programme to ensure that the right technology is in place to support agile working and to facilitate and improve customer access to services	
R10 Low Staff Satisfaction and Morale	Reduction in staff satisfaction and morale with the Council including increase in sickness absence	Vicky Willett (Shared Service Lead - Transformation and Partnerships)	12	HR Processes	HR processes in place (inc PDPs for development)	6	risks associated with recruiting, retaining and motivating staff & developing skills;	4	Staff Sickness Statistics	Gather staff sickness statistics to inform processes
				Staff Communications	Staff communications and employee engagement including intranets, core briefs, listening days and working groups				Staff survey	Utilise staff survey to identify areas for action
				Organisation Development Strategy	Organisation Development Strategy to provide support and resilience to organisational change and support employee personal development and wellbeing				Refresh of OD strategy	Refresh of OD strategy to take into account staff morale and findings of staff survey to ensure effective interventions for staff satisfaction are in place
									Internal Communications Strategy	Refresh internal communications strategy (including work through Listening Day working groups)
R11 Detrimental Impact of Brexit	Potential detrimental impact of Brexit upon service delivery or costs	Chris Sinnott (Deputy Chief Executive (Chorley and South Ribble))	9	Impact Awareness	SMT aware of potential impact on their services including through supply chains, partners and consultancy through regular monitoring/ briefings/ training/ government legislation	8	Risks relating to Legal/Regulatory requirements	4	Policy and Procedure Review	SMT to ensure review of current policies and procedures in relevant service areas once full impact of Brexit is known (H+S, planning, procurement etc)
R12 Corporate Governance Failure	Failure to implement and maintain the corporate governance framework action plan leading to continued fundamental weaknesses in internal controls	Chris Moister (Director of Governance)	9	AGS Action plan.	AGS Action plan has been delivered to put in place strong governance procedures and frameworks in addition to HR policies, performance, partnerships, communications and OD.	6	Risks relating to the reputational risks to the Council Risks relating to Legal/Regulatory requirements	4	AGS	Develop more inclusive approach to development & production of AGS to enable service areas to take ownership of actions- review and refresh the annual governance statement action plan and produce service assurance statements.
				Council Constitution, Local Code of Corporate Governance & Codes of Conduct	Council Constitution, Local Code of Corporate Governance & Codes of Conduct are in place to set out governance arrangements for the council.				Follow up Audit reviews	Implement process to ensure follow up of management actions from Audit reviews in 2018/19 and 2019/20. Monitor Management Actions through GRACE system to ensure that they are implemented.
				Member and Officer Protocols	Member and Officer Protocols are in place to create clear protocols as to how				Governance training	Provision of Governance training for all staff through mandatory training and build awareness of strong governance culture through the passport the management course
									Constitution	Review and align areas of Constitution and codes of conduct to ensure that they are maintained and

				members and officers work in relation to each other.				updated.	
				Financial Procedure Rules and Contract Procedures Rules	Financial Procedure Rules and Contract Procedures Rules are in place to ensure financial regulation and adherence to statutory frameworks.			Member & Officer protocols Ensure Member & Officer protocols maintained up to date and aligned for Shared Services as required.	
				Internal Audit Plan	Internal Audit Plan			Financial Procedure Rules Review Financial Procedure Rules to ensure that they are maintained and up to date.	
				Individual Audit Reviews	Individual Audit Reviews			Local Code of Corporate Governance Revise Local Code of Corporate Governance, update and align to CIPFA / SOLACE requirements.	
R13 Breakdown in Political Relationships	Failure to maintain political stability and Officer-Member relationships	Chris Moister (Director of Governance)	9	Reviewed Democratic Service	Reviewed Democratic service providing additional management capacity and shared resource to ensure resilience in service delivery	6	Risks relating to operational activity	4	Review Constitution Review constitution to review formality and enable democratic debate
				Portfolio Reviews	Regular portfolio reviews are in place.				Member Training Ongoing member training programme in place
				Member Briefings	Regular Member briefings including Leader briefings, opposition briefings and briefings for cabinet members.				Member Code of Conduct Updating Member code of conduct and investigation procedure to ensure good governance and political stability
				Corporate Strategy Priorities	Clear Corporate Strategy priorities refreshed annually				
R14 Damage to the Council's Reputation	Damage to the Council's reputation and potential reduction in resident satisfaction	Chris Moister (Director of Governance)	9	Governance Arrangements	Effective Governance and decision making arrangements in place	4	Risks relating to the reputational risks to the Council	4	Customer Strategy Review Customer Access Strategy, Customer Charter and Customer Care Standards in line with Shared Customer Services Review
				Communication and Engagement	Regular communication and engagement with local stakeholders, businesses and residents through consultations, use of social media channels, and other medias.				Reviewed consultation and engagement framework Reviewed consultation Framework ensures that there are clear and consistent processes in place for engaging with residents and other stakeholders
				Compliments and Complaints Policy	Compliments and complaints policy and procedure in place				Communications Strategy Refresh and implementation of the new Communications Strategy
				Social Media Response	Monitoring of social media and response through Communications team				
				Resident Satisfaction Survey	Resident satisfaction survey to engage with resident's and include feedback in the development of corporstate strategies and plans				
				Planning Policies	Planning policies to ensure consistent procedures and arrangements in place for planning				

				Performance Monitoring	Performance monitoring frameowrk in place to identfiy areas of concern and action plans to address					
				Corporate Strategy	Tangible improvement projects in the corporate strategy					
				Budget setting process	Additional investment in priority areas ongoing through budget process.					
				Conduct and capability	Staff and Member Conduct and capability policies in place to minimise behaviour that could negatively impact on the Council's reputation.					
				Strategic Partnership Framework	Strategic Partnership Framework in place to ensure successful partnerships with the aim of achieving corporate priorities					
R15 Failure Shared Service Arrangements	Failure of existing shared service arrangements/failure to expand shared service arrangements	Gary Hall (CEO)	9	Governance Arrangements	Effective Governance arrangements in place including Shared Services Joint Committee to Shared Services Agreement outlining protocols and arrangements in the event of shared service failure	4	Risks relating to the failure of partners/contractors or the contract itself Risks relating to operational activity	1	Benefits realisation and performance monitoring Shared Services Development	Regular reporting framework be put in place to ensure benefits realisation and performnace is monitored at Shared Services Joint Committee quarterly Future of shared services to be outlined and agreed with Members to ensure a clear path for future development
				Shared Chief Executive	Shared Chief Executive and Senior Management Team, ensuring consistent corporate approach across the organisations					
				Trade Union Engagement	Regular engagement with trade unions as part of the shared services development including regular SJCC meetings					
				Development of Phased Approach Plan	Phased approach Plan developed and agreed to manage the implementation and transition to shared services within current resource and capacity					
				Shared Change Policy	Shared change policy in place to develop a clear and consistent approach to organisational change, enabling the successful implementation of restructures and minimising impact on staff					

R16 Council underperformance	Failure to sustain performance of Corporate Strategy projects and general organisational performance	Vicky Willett (Shared Service Lead - Transformation and Partnerships)	9	Quarterly Performance Monitoring and Reporting	Quarterly performance report to Executive Cabinet	4	Risks relating to operational activity	2	Performance Management Training	Performance management training for management/ staff
				Business Planning	Business planning process to identify key service projects, resource required and interdependencies				Performance Leads Network	Embed performance and project management frameworks through network sessions
				Local Indicators	Local indicators in place to measure performance across services					
				Programme Board	Programme Board in place to ensure regular monitoring of key projects					
				Performance Management Framework	Refreshed performance management framework to ensure consistent reporting					