

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	Action Plan Owners
<i>Items in Group: 16</i>											
<b>SRBC Corporate Risk Register 2022</b>											
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)	8	Business Continuity Planning & Management / BCP arrangements.	Business Continuity Planning & Management / BCP arrangements are in place and maintained.	6	Risks associated with financial planning & control Risks associated with technology Risks relating to information held	4	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.	Kerry Maguire (Senior Risk and Insurance Officer)
				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.						
				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						
				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.						
									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.	Asim Khan (Director (Customer & Digital))
									Establish a forward plan of testing of business continuity plans to ensure they are robust and fit for purpose		Dawn Highton (Shared Service Lead Audit and Risk)
									Monitoring of the Ukraine Crisis	SMT are to monitor the impact of the Ukraine crisis on business continuity to identify emerging issues and mitigating actions	Gary Hall (Chief Executive)

				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.						
				In year budgets and MTFs reviewed	Processes are in place to review in-year budgets and MTFs to identify and release necessary resources, including staffing, to implement mitigating actions.						
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))	12	Key Strategic Partnership Frameworks and Agreements	Key Strategic Partnership Frameworks and Agreements in place including regular reviews and performance monitoring.	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 to ensure operating effectively	Chris Moister (Director of Governance)
				Shared Governance Arrangements	Shared Governance arrangements in place and agreed to including agreed aims and objectives; Joint working protocols				City Deal	Review of councils continued involvement - City Deal	Jonathan Noad (Director (Planning and Development ))
				Partnership Boards	Partnership Boards including representatives from the Council						

								To engage proactively in discussions around emerging system changes and activity at a Lancashire Level aligned to the Levelling Up White Paper'		Chris Sinnott (Deputy Chief Executive)	
				Agreed Structures	Agreed Structures and appropriately allocated responsibilities and accountabilities are in place for all strategic partnerships.			Deliver the corporate project 'join up public services by working with our partners through the Chorley and South Ribble Partnership'		Vicky Willett (Director Change and Delivery)	
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	Mark Lester (Director (Commercial and Property))
				Monitoring / reporting of delivery of Corporate Plan and MTFS	Monitoring / reporting of delivery of Corporate Plan and MTFS to corporate management and members.				Budget management	Review budget monitoring / management arrangements, ensure compliance with financial procedure rules	Dawn Highton (Shared Service Lead Audit and Risk) Louise Mattinson (Director of Finance)
				Financial training of officers and members	Financial training of officers and members included as part of service business plan.						
				Maintenance of high Council Tax / Business Rates collection rates	Maintenance of high Council Tax / Business Rates collection rates - use of system automation to increase staff capacity to focus on recovery.				Engaging in plans aligned to Levelling Up/ future funding streams to ensure South Ribble benefits from future funding opportunities	SMT to monitor future funding streams in their areas and engage in local/ national plans	SMT
				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.						
				Budget monitoring arrangements in place	Budget monitoring arrangements in place to ensure regular reviews including 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 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)) Rachel Salter (Service Lead (Development and Business)) Louise Mattinson ( Director of Finance)	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 meet regularly with services to update funding arrangements of capital programme including identifying alternative sources such as CIL, S106 and grant funding bid	Asim Khan (Director (Customer & Digital)) Mark Lester (Director (Commercial and Property)) Chris Moister (Director of Governance) Jennifer Mullin (Director of Communities) Jonathan Noad (Director (Planning and Development )) Chris Sinnott (Deputy Chief Executive (Chorley and South Ribble)) Louise Mattinson (Director of Finance)
				Quarterly monitoring of capital programme and funding to Programme Board	Quarterly monitoring of capital programme and funding to Programme Board. Early identification and reporting of changes to project 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.						
				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. <b>Additional shared Director level post for Future Investments</b>						
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	Mark Lester (Director (Commercial and Property)) 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	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	Asim Khan (Director (Customer & Digital)) Mark Lester (Director (Commercial and Property)) Chris Moister (Director of Governance) Jennifer Mullin (Director of Communities) Jonathan Noad (Director (Planning and Development )) Chris Sinnott (Deputy Chief Executive
				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 to respond to consultations from central government departments and agencies					(Director of Communities) Jonathan Noad (Director (Planning and Development )) Chris Sinnott (Deputy Chief Executive (Chorley and South Ribble))	
				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.			Transformation Strategy	Review Transformation Strategy and programme to ensure opportunities in local government transformation are considered.	Vicky Willett (Director Change and Delivery)	
				Maintenance of interaction with partner agencies.	Maintenance of interaction with partner agencies in local service areas and Strategic Partnerships.						
R06 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))	16	Organisational Development	Organisational Development strategy and budget to identify training needs, deliver training, and support staff to deliver capital and corporate strategy projects.	12	risks associated with recruiting, retaining and motivating staff & developing skills; risks associated with recruiting, retaining and motivating staff & developing skills;	4	Shared Services arrangements	Continuous Development of Shared Services arrangements in line with discussion with Members to support additional resilience and shared capacity for the organisation.	Gary Hall (CEO)
				Employee benefits kept under review	Employee benefits kept under review to help 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.				People Strategy	Develop a People Strategy focused on developing skills and expertise within the organisation and ensuring that succession planning arrangements are in place.	Vicky Willett (Director Change and Delivery)
				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.						
				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.						

								Review of recruitment and onboarding		Vicky Willett (Director Change and Delivery)	
								Annual workforce review		Vicky Willett (Director Change and Delivery)	
								Annual development day		Vicky Willett (Director Change and Delivery)	
								Consistent graduate and apprentice process		Vicky Willett (Director Change and Delivery)	
								New Recruitment System	New recruitment system to deliver an improved candidate experience and encourage applications for roles.	Vicky Willett (Director Change and Delivery)	
								Workplace Strategy	Delivery of Workplace strategy <b>action plan</b> to support agile and flexible working to attract and retain skilled staff.	Vicky Willett (Director Change and Delivery)	
R07 ICT Security and Data Protection	Failure to comply with GDPR regulations and data legislation leading to action taken against the council, including reputation and legal action resulting in fines.	Asim Khan (Director (Customer & Digital))	12	Security Arrangements and Policy	ICT security / Cyber Security arrangements; GDPR / Data Protections policies and arrangements in place ; Information Security Policies in place	8	Risks associated with technology Risks relating to information held Risks relating to Legal/Regulatory requirements	4	Data Backup	Review DR / BC arrangements for compliance. Review Data backup and recovery arrangements for compliance and effectiveness.	Dawn Highton (Shared Service Lead Audit and Risk)
				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.				GDPR Audit Review	Actions arising from GDPR audit review to be implemented;	Dawn Highton (Shared Service Lead Audit and Risk)

				Business Continuity Arrangements	Disaster Recovery / Business Continuity Plan and arrangements. Data backup and recovery arrangements and agreements				Management actions to be monitored and reported back to Leadership Team and Governance Committee as appropriate.	Asim Khan (Director (Customer & Digital))	
				SOCITIM Review	SOCITIM review implementation						
				Member and Officer Policies and Training	Member and Officer Policies and Training in place						
				Audit and Governance	Regular audits of compliance / governance arrangements undertaken			Mandatory Information Security Framework training to be completed by all staff		Vicky Willett (Director Change and Delivery)	
				Government guidance and briefings	Government guidance and briefings including membership of security forums.			Digital Strategy and ICT Plan	Continual improvements to ICT security including ICT infrastructure, and more secure user devices.	Asim Khan (Director (Customer & Digital))	
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)	9	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.	6		6	Pandemic Recovery Corporate Project	Jennifer Mullin (Director of Communities)	
				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 Adapting 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 council (including consideration of communities post Covid-19, impact of local economy and council services)	Chris Sinnott (Deputy Chief Executive (Chorley and South Ribble))	12	Transformation Strategy	Transformation Strategy in place to identify opportunities for new ways of working.	6	Risks associated with technology Risks relating to operational activity	4	Customer Strategy	Review Customer Strategy	Asim Khan (Director (Customer & Digital))
				Digital and Customer	Digital and Customer Strategies in place to set out the development						

	Council Services)			Strategies	of agile services and support their successful delivery through digital inclusion. Supporting stakeholders to adapt to new ways of working.			Workplace Strategy	Delivery of workplace strategy <b>action plan</b> to ensure the processes, technology and culture are in place to support agile and flexible working	Vicky Willett (Director Change and Delivery)	
				Business Planning	Business planning process in place with annual review to consider how business models should be adapted to reflect changes in the community.			Digital Strategy	Implementation of Digital Strategy and <b>ICT plan</b> to ensure that the right technology is in place to support agile working and to facilitate and improve customer access to services.	Asim Khan (Director (Customer & Digital))	
R10 Low Staff Satisfaction and Morale	Reduction in staff satisfaction and morale with the Council including increase in sickness absence	Vicky Willett (Director Customer and Digital)	12	Organisation Development Strategy	Organisation Development Strategy to provide support and resilience to organisational change and support employee personal development and wellbeing.	6	risks associated with recruiting, retaining and motivating staff & developing skills; risks associated with recruiting, retaining and motivating staff & developing skills;	4	Staff Sickness Statistics	Gather staff sickness statistics to inform processes	Vicky Willett (Director Change and Delivery)
				HR Processes	HR processes in place (inc PDPs for development)			Internal Communications Strategy	Refresh internal communications strategy (including work through Listening Day working groups <b>and refreshed intranet</b> )	Andrew Daniels (Shared Service Lead - Communications and Visitor Economy)	
				Staff Communications	Staff communications and engagement including intranets, core briefs, listening days and working groups.			Staff Survey	Utilise staff survey to identify areas for action	Vicky Willett (Director Change and Delivery)	
								Pulse Survey	Regular pulse surveys to be carried out to monitor staff wellbeing	Vicky Willett (Director Change and Delivery)	



								Review and relaunch of staff rewards and recognition		Vicky Willett (Director Change and Delivery)	
								Interactive staff experience		Vicky Willett (Director Change and Delivery)	
								Refresh of OD Strategy	Refresh of OD strategy (as a People Strategy) to take into account staff morale and findings of staff survey to ensure effective interventions for staff satisfaction are in place.	Vicky Willett (Director Change and Delivery)	
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	Senior Management to be aware of potential impact on their services including through supply chains, partners and consultancy through regular monitoring/briefings/training/government legislation.	6	Risks relating to Legal/Regulatory requirements	4	Policy and Procedure Review	Review of current policies and procedures once full impact of Brexit is known (H+S, planning, procurement etc)	Asim Khan (Director (Customer & Digital)) Mark Lester (Director (Commercial and Property)) Chris Moister (Director of Governance) Jennifer Mullin (Director of Communities) Jonathan Noad (Director (Planning and Development)) Chris Sinnott (Deputy Chief Executive (Chorley and South Ribble))
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	Annual Governance Statement 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	Annual Governance Statement	Develop more inclusive approach to development & production of AGS to enable service areas to take ownership of	Chris Moister (Director of Governance)

	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.			actions - review and refresh the annual governance statement action plan and produce service assurance statements.	
	Member and Officer Protocols	Member and Officer Protocols are in place to create clear protocols as to how members and officers work in relation to each other.				
	Internal Audit Plan	Internal Audit Plan				
	Individual Audit Reviews	Individual Audit Reviews				
	Financial Procedure Rules and Contract Procedure Rules	Financial Procedure Rules and Contract Procedures Rules are in place to ensure financial regulation and adherence to statutory frameworks.				
				Constitution	Review and align areas of Constitution as required	Chris Moister (Director of Governance)
				Member & Officer protocols	Ensure Member & Officer protocols maintained up to date and aligned for Shared Services as required.	Chris Moister (Director of Governance)
				Local Code of Corporate Governance	Revise Local Code of Corporate Governance, update and align to CIPFA / SOLACE requirements	Chris Moister (Director of Governance)
				Financial Procedure Rules	Review Financial Procedure Rules to ensure that they are maintained and up to date.	Louise Mattinson (Director of Finance)

								Fraud arrangements	To develop the council's approach to fraud following the assessment of the councils arrangements against Fighting Fraud and Corruption Locally 2020-25	Dawn Highton	
								Risk Management Reporting	Range of reports to be developed to allow Directors to challenge data held within GRACE for partnership, project and operational risks	Dawn Highton	
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	Chris Moister (Director of Governance)
				Portfolio Reviews	Regular portfolio reviews are in place.			Member Training	Ongoing member training programme in place.	Chris Moister (Director of Governance)	
				Member Briefings	Regular Member briefings including Leader briefings, opposition briefings and briefings for cabinet members.			Work with the LGA and CfGS to examine approach to committee meetings	Review approach to committee meetings to reflect best practice and scrutiny function	Chris Moister (Director of Governance)	
				Corporate Strategy Priorities	Clear Corporate Strategy priorities refreshed annually			Member Code of Conduct	Updating Member code of conduct and investigation procedure to ensure good governance and political stability.	Chris Moister (Director of Governance)	
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	Asim Khan (Director (Customer & Digital))

				<p>Communication and Engagement Regular communication and engagement with local stakeholders, businesses and residents through consultations, use of social media channels, and other medias.</p> <p>Compliments and Complaints Policy Compliments and complaints policy and procedure in place</p> <p>Social Media Response Monitoring of social media and response through Communications team</p> <p>Resident Satisfaction Survey Resident satisfaction survey to engage with residents and include feedback in development of corporate strategies and plans.</p> <p>Planning Policies Planning policies to ensure consistent procedures and arrangements in place for planning.</p> <p>Corporate Strategy Tangible improvement projects in the corporate strategy.</p> <p>Performance Monitoring Performance Monitoring framework in place to identify areas of concern and action plans to address.</p> <p>Budget Setting Process Additional investment in priority areas ongoing through budget process</p> <p>Conduct and capability Staff and Member Conduct and capability policies in place to minimise behaviour that could negatively impact on the Council's reputation.</p> <p>Strategic Partnership Framework Strategic Partnership Framework in place to ensure successful partnerships with the aim of achieving corporate priorities.</p>				<p>Charter and Customer Care Standards in line with Shared Customer Services Review.</p> <p>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.</p> <p>Communications Strategy Refresh and implementation of the new Communications Strategy</p>	<p>Vicky Willett (Director Change and Delivery)</p> <p>Andrew Daniels (Shared Service Lead - Communications and Visitor Economy)</p>
R15 Failure Shared Service Arrangements	Failure of existing shared service arrangements/failure to expand shared service arrangements	Gary Hall (CEO)	9	<p>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 services failure.</p> <p>Trade Union Engagement Regular engagement with trade unions as part of the shared services development including regular SJCC meetings.</p>	4	Risks relating to the failure of partners/contractors or the contract itself Risks relating to operational activity	2	<p>Benefits realisation and performance monitoring Regular reporting framework to be put in place to ensure benefits realisation and performance is monitored at Shared Service Joint Committee quarterly.</p>	Vicky Willett (Director Change and Delivery)

				Development of Phased Approach Plan	Phased approach Plan developed and agreed to manage the implementation and transition to shared services with current resource and capacity.				Shared Services Development	Future of shared services to be outlined and agreed with members to ensure a clear path for future development.	Vicky Willett (Director Change and Delivery)
				Shared Chief Executive	Shared Chief Executive and Senior Management Team, ensuring consistent corporate approach across the organisations.						
				Regular performance and benefits monitoring to Shared Services Joint Committee					Refreshed approach to shared services	Reviewed approach to include consideration for lessons learned from previous phases of shared services to minimise impact on service delivery and ensure successful shared services	Vicky Willett (Director Change and Delivery)
				Shared Change Policy	Shared Change Policy in place to develop a clear and consistent approach to organisational change, enabling the successful implementation of restructure and minimising impact on staff.						
R16 Council Underperformance	Failure to sustain performance of Corporate Strategy projects and general organisational performance	Vicky Willett (Director Customer and Digital)	12	Quarterly Performance Monitoring and Reporting	Quarterly performance report to Executive Cabinet.	6	Risks relating to operational activity	2	Performance Leads Network	Embed performance and project management frameworks through network sessions.	Vicky Willett (Director-Change and Delivery)
				Business Planning	Business planning process to identify key service projects, resources required and interdependencies.						
				Local Indicators	Local indicators in place to measure performance across services.				Further work to develop performance and project management systems		Vicky Willett (Director-Change and Delivery)
				Programme Board	Programme Board in place to measure performance across services				PMO Support	Programme Management Support available to support delivery of key programmes including the ICT Plan and Delivery Plan	Vicky Willett (Director-Change and Delivery)

				Performance Leads Network Performance Management Framework	To embed frameworks and ensure high quality data and reporting Refreshed performance management framework to ensure consistent reporting.		