

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
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Items in Group: 16

**SRBC Corporate Risk Register**

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	Chris Sinnott (Chief Executive (Chorley and South Ribble))	12	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	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.				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)) Emma Marshall (Service Lead - ICT)
				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.				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		Chris Sinnott (Chief Executive (Chorley and South Ribble))
				IT Business Continuity / Disaster Recover planning	IT Business Continuity / Disaster Recover planning including home working solution in place as appropriate.				Business continuity plans to be embedded on the dedicated system and a testing exercise of plans to be undertaken			Dawn Highton (Shared Service Lead Audit and Risk)
				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.							
				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.						
				Regular SJCC meetings	Regular meetings with the union to minimise any impact from potential industrial action						
R02 Failure to Deliver Outcomes through Strategic Partnerships	Failure to achieve desired outcomes through strategic relationships including City Deal	Chris Sinnott (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	City Deal	Review of councils continued involvement - City Deal	Chris Sinnott (Chief Executive (Chorley and South Ribble))
				Shared Governance Arrangements	Shared Governance arrangements in place and agreed to including agreed aims and objectives; Joint working protocols				Engage with Lancashire level system changes	To engage proactively in discussions around emerging system changes and activity at a Lancashire Level aligned to the Levelling Up White Paper'	Vicky Willett (Director Delivery and Change)
				Partnership Boards	Partnership Boards including representatives from the Council						
				Agreed Structures	Agreed Structures and appropriately allocated responsibilities and accountabilities are in place for all strategic partnerships.						
									Review of Key Strategic Contracts and Partnerships framework	Review of framework in line with audit management actions	Vicky Willett (Director Delivery and Change)
R03 Poor Financial Sustainability	Reduction in current funding streams including government grant and key public sector and third party partners, or increase in costs as a result of inflation	Louise Mattinson (Director of Finance)	16	3 Year Budget forecasting within MTFS	3 Year Budget forecasting within MTFS	12	Risks associated with financial planning & control	6	SMT to review increasing costs	SMT to continue to review potential increase in costs in relation to the Ukraine crisis, energy, and inflation	Chris Sinnott (Chief Executive (Chorley and South Ribble))
				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.				Engaging in plans aligned to Levelling Up/ future funding streams to ensure South Ribble benefits from future funding op	SMT to monitor future funding streams in their areas and engage in local/ national plans	Chris Sinnott (Chief Executive (Chorley and South Ribble))
				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.						
				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.				Transformation Programme- review of assets		Vicky Willett (Director Delivery and Change)
				Budget monitoring arrangements in place	Budget monitoring arrangements in place to ensure regular reviews including contingencies and reserves.				Refresh of transformation programme	Refresh of the Transformation Strategy to have a greater focus on delivering savings or increasing income generation	Vicky Willett (Director Delivery and Change)
				Transformation Strategy	Strategy in place to identify opportunities for efficiency and income generation.						
R04 Failure to realise the value of major investments	Failure to realise the value of large scale investments linked to the capital programme delivery and oversight	Chris Sinnott	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	4	Update funding arrangements as part of quarterly budget monitoring to members and	Finance team meet regularly with services to update funding arrangements of capital programme including identifying alternative	SMT

				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.		the failure of partners/contractors or the contract itself		standing item on Leader Briefing	sources such as CIL, S106 and grant funding bid	
				Quarterly budget and performance monitoring reports presented to Cabinet	Quarterly budget and performance monitoring reports presented to Cabinet						
				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 RTP1, RICS and CIOH						
				Standardised business case for capital investments	A standardised business case is now in place for capital investments to ensure a high quality of reporting and informed decision making						
				Review of management capacity	Review of management capacity ensures shared Head of Service for Property and Development						
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)	9	Regular policy reviews by relevant officers within individual services.	Regular policy reviews by relevant officers within individual services.	6	Risks relating to the reputational risks to the Council Risks relating to information held Risks relating to Legal/Regulatory requirements	4	Continue to engage in plans aligned to Levelling Up		Chris Sinnott (Chief Executive (Chorley and South Ribble))
				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						
				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.						
				Membership of professional bodies and other associations	Services to review and maintain necessary membership of professional bodies and other associations						
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	Chris Sinnott (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.	9	risks associated with recruiting, retaining and motivating staff & developing skills; risks associated	4	Roll out of new terms and conditions	The roll-out of new terms and conditions will provide an enhanced offer to staff, supporting recruitment and retention	Vicky Willett (Director Delivery and Change)

	Strategy.			Employee benefits kept under review	Employee benefits kept under review to help retain skilled staff.		with recruiting, retaining and motivating staff & developing skills;				
				Staff and member development / PDR's	Staff and member development / PDR's to identify training and skills needs.			Develop approach to retaining talent	Develop an approach to improve the retention of talent across the organisation	Vicky Willett (Director Delivery and Change)	
				Resilience from shared service arrangements.	Resilience from shared service arrangements to support capacity in shared teams and across the organisation.			Recruitment Strategy	Recruitment strategy to support strategic approach to recruitment and meeting skills and capacity requirements	Vicky Willett (Director Delivery and Change)	
				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.			New Recruitment System	New recruitment system to deliver an improved candidate experience and encourage applications for roles.	Vicky Willett (Director Delivery and Change)	
				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.						
				Review of management capacity	Review of management capacity has introduced additional management capacity at the Head of Service level			Annual workforce review	Annual workforce review to identify skills and capacity across the organisation	Vicky Willett (Director Delivery and Change)	
				Passport to people management and management development programmes	FLAIR programme and PPM in place to support development of staff and leadership and management skills			Deliver the People Strategy	Deliver the actions set out in the People Strategy	Vicky Willett (Director Delivery and Change)	
				Consistent graduate and apprentice programme	Consistent approach to graduates and apprentices across the organisation to provide support and development as part of our 'grow our own' approach. This includes a graduate programme with additional learning sessions, mentors and networking opportunities						
				Annual development day	Annual development day in place to provide dedicated time for staff personal development. This includes 1 individual and 1 team day per officer per annum						
				Workplace Strategy	Workplace strategy to support agile and flexible working to attract and retain skilled staff.						
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.				Digital Strategy and ICT Plan	Continual improvements to ICT security including ICT infrastructure, and more secure user devices.	Asim Khan (Director (Customer & Digital)) Emma Marshall (Service Lead - ICT)	
				Digital Strategy	IT Digital Strategy / Digital Strategy Programme and Projects / Annual ICT work programme;						
				Business Continuity Arrangements	Disaster Recovery / Business Continuity Plan and arrangements. Data backup and recovery arrangements and agreements			Cyber security to continue to be monitored in line with the Ukraine crisis including responding to advice from the government		Asim Khan (Director (Customer & Digital)) Emma Marshall (Service Lead - ICT)	
				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			Cyber security training	Delivery of cyber security training to officers and members to highlight risks faced by the council	Emma Marshall (Service Lead - ICT)	
				Government guidance and briefings	Government guidance and briefings including membership of security forums.						
				Mandatory Information Security Framework training to be completed by all staff				Refresh of information security council terms of reference to ensure clear lines of responsibility	The ISC is made up of the SIRO, DPO and Head of ICT to monitor performance and assess development and training needs. A refresh of its terms of reference will help to ensure clear responsibilities are in place	Chris Moister (Director of Governance)	
R8- Failure to Act to Address Climate Change	Failure to act successfully to meet commitments made by the Council to address climate change, alongside the risk of negative impacts on our communities as a result of the Climate Emergency.	Chris Sinnott (Chief Executive (Chorley and South Ribble))	12	Climate change resource	Resource in place to support delivery against climate change plans through budget setting process and Climate Change officers	9	Risks impacting on the achievement of corporate objectives and priorities Risks related to fire, security, accident prevention & health and wellbeing Risks relating to pollution, noise or energy	6	Refresh climate change action plan	Refresh climate change action plan, tailoring against potential external funding	Jennifer Mullin (Director of Communities)
				SLT session held to consider approach to Climate Change							
				Planning Policy	Planning Policy consider environmental impact to minimise impact of new developments, with spatial planning work to improve tree coverage across the borough						
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	Chris Sinnott (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	Workplace Strategy	Delivery of workplace strategy actions plans to ensure the processes, technology and culture are in place to support agile and flexible working. This includes roll out of new end point devices and a review of the Civic Centre accommodation.	Vicky Willett (Director Delivery and Change)
				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.						
				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 Inclusion Strategy	Digital Inclusion Strategy			Digital Strategy	Implementation of Digital Strategy and ICT Plan to ensure that the right	Asim Khan (Director (Customer & Digital))	

				Service led improvement programme Reviews led by Heads of Service to consider new ways of working tailored to their service needs				technology is in place to support agile working and to facilitate and improve customer access to services.	Digital)) Emma Marshall (Service Lead - ICT)
				Workplace strategy Workplace Strategy in place to support agile and flexible working					
				Corporate Strategy Priorities Ambitious Corporate Strategy to identify new corporate projects for new ways of working					
R10 Low Staff Satisfaction and Morale	Reduction in staff satisfaction and morale with the Council including increase in sickness absence	Vicky Willett (Director Delivery and Change)	12	People Strategy Organisation Development Strategy to provide support and resilience to organisational change and support employee personal development and HR processes in place (inc PDPs for development)	6	risks associated with recruiting, retaining and motivating staff & developing skills; risks associated with recruiting, retaining and motivating staff & developing skills;	4	Internal Communications Strategy Refresh internal communications strategy (including work through Listening Day working groups)	Andrew Daniels (Shared Service Lead - Communications and Visitor Economy)
				Staff Communications Staff communications and engagement including intranets, core briefs, listening days and working groups.				Review and relaunch of staff rewards and recognition	Vicky Willett (Director Delivery and Change)
				Staff Sickness Statistics Gather staff sickness statistics to inform processes				Interactive staff experience Delivery of interactive staff experience to support organisational recognition as part of the People Strategy	Vicky Willett (Director Delivery and Change)
				Change policy and working group Change policy and working group in place to ensure a consistent approach to change				Delivery of the People Strategy	Vicky Willett (Director Delivery and Change)
				Pulse survey Regular pulse surveys to be carried out to monitor staff wellbeing				Relaunch of staff social activities Relaunch of staff social activities following Covid-19 through a volunteer led programme	Vicky Willett (Director Delivery and Change)
								Team talk Team Talk Initiative to support cross team learning and collaboration	Vicky Willett (Director Delivery and Change)
								Service Led Programme to implement the new, better terms and conditions	Vicky Willett (Director Delivery and Change)
								Review of recruitment and onboarding Review of recruitment and onboarding to address capacity	Vicky Willett (Director Delivery and Change)
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	Constitution Review and align areas of Constitution as required and Codes of Conduct to ensure that they are maintained and updated.	Chris Moister (Director of Governance)
				Council Constitution Council Constitution, Local Code of					

				<p>Local Code of Corporate Governance &amp; Codes of Conduct</p> <p>Member and Officer Protocols</p> <p>Internal Audit Plan</p> <p>Individual Audit Reviews</p> <p>Financial Procedure Rules and Contract Procedure Rules</p> <p>Risk management reporting</p> <p>Corporate Governance Group</p>	<p>Corporate Governance &amp; Codes of Conduct are in place to set out governance arrangements for the council.</p> <p>Member and Officer Protocols are in place to create clear protocols as to how members and officers work in relation to each other.</p> <p>Internal Audit Plan</p> <p>Individual Audit Reviews</p> <p>Financial Procedure Rules and Contract Procedures Rules are in place to ensure financial regulation and adherence to statutory frameworks.</p> <p>Range of reports to be developed to allow Directors to challenge data held within GRACE for partnership, project and operational risks</p> <p>Corporate Governance Group to monitor governance across the organisation and tackle any issues.</p>				<p>Member &amp; Officer protocols</p> <p>Financial Procedure Rules</p> <p>Annual Governance Statement Actions 2023/24</p> <p>Fraud arrangements</p> <p>Audit management actions</p>	<p>Ensure Member &amp; Officer protocols maintained up to date and aligned for Shared Services as required.</p> <p>Review Financial Procedure Rules to ensure that they are maintained and up to date.</p> <p>To develop the council's approach to fraud following the assessment of the council's arrangements against Fighting Fraud and Corruption Locally 2022-25</p> <p>Complete outstanding audit management actions including for 2022/23 reviews</p>	<p>Chris Moister (Director of Governance)</p> <p>Louise Mattinson (Director of Finance)</p> <p>Chris Moister (Director of Governance)</p> <p>Dawn Highton (Shared Service Lead Audit and Risk)</p> <p>Dawn Highton (Shared Service Lead Audit and Risk)</p>
R13 Breakdown in Political Relationships	Failure to maintain political stability and strong Officer-Member and cross-party relationships	Chris Moister (Director of Governance)	9	<p>Reviewed Democratic Service</p> <p>Portfolio Reviews</p> <p>Member Briefings</p> <p>Corporate Strategy Priorities</p> <p>Leader Briefings</p>	<p>Reviewed Democratic service providing additional management capacity and shared resource to ensure resilience in service delivery.</p> <p>Regular portfolio reviews are in place.</p> <p>Regular Member briefings including Leader briefings, opposition briefings and briefings for cabinet members.</p> <p>Clear Corporate Strategy priorities refreshed annually</p> <p>Regular Leader briefings</p>	6	Risks relating to operational activity	4	<p>Review Constitution</p> <p>Member induction programme</p>	<p>Review constitution to review formality</p> <p>Member induction programme to be delivered to support the all out council election 2023</p>	<p>Chris Moister (Director of Governance)</p> <p>Chris Moister (Director of Governance)</p>
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	<p>Governance Arrangements</p> <p>Communication and Engagement</p> <p>Compliments and Complaints Policy</p> <p>Social Media Response</p>	<p>Effective Governance and decision making arrangements in place</p> <p>Regular communication and engagement with local stakeholders, businesses and residents through consultations, use of social media channels, and other medias. Community focused schemes including community hubs, youth council and social value programme</p> <p>Compliments and complaints policy and procedure in place</p> <p>Monitoring of social media and response through Communications team</p>	4	Risks relating to the reputational risks to the Council	4	<p>Audit management actions</p> <p>Annual Governance Statement actions</p>	<p>Delivery of internal audit management actions identified through internal audit reviews</p> <p>Delivery of AGS actions</p>	<p>Dawn Highton (Shared Service Lead Audit and Risk)</p> <p>Chris Moister (Director of Governance)</p>

				Resident Satisfaction Survey	Resident satisfaction survey to engage with residents and include feedback in development of corporate strategies and plans.						
				Planning Policies	Planning policies to ensure consistent procedures and arrangements in place for planning.						
				Corporate Strategy	Tangible improvement projects in the corporate strategy.						
				Performance Monitoring	Performance Monitoring framework in place to identify areas of concern and action plans to address.						
				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.						
				Customer Strategy	Reviewed Customer Access Strategy, Customer Charter and Customer Care Standards in line with Shared Customer Services Review.						
R15 Failure Shared Service Arrangements	Failure of existing shared service arrangements/failure to expand shared service arrangements	Chris Sinnott	9	Strategic Partnership Framework	Strategic Partnership Framework	4	Risks relating to the failure of partners/contractors or the contract itself Risks relating to operational activity	1	Progress the future development of shared services following the phase 3 property and assets review	To set out a clear path for the next steps in shared services	Vicky Willett (Director Delivery and Change)
				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.						
				Executive Agreement	Agreement of Executives at both Council's.						
				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 with current resource and capacity.						
				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							
R16 Council Underperformance	Failure to sustain performance of Corporate Strategy projects and general organisational	Vicky Willett (Director Delivery and Change)	12	Quarterly Performance Monitoring and Reporting	Quarterly performance report to Executive Cabinet.	6	Risks relating to operational activity	2	Restructure of Performance and Partnerships team	Performance team restructured to provide a greater emphasis on	Vicky Willett (Director Delivery and Change)



performance			Quarterly Performance Report	Quarterly performance report to Executive Cabinet			business partnering and advising service areas on performance management
			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.			
			Programme Board	Programme Board in place to measure performance across services			
			Performance Management Framework	Refreshed performance management framework to ensure consistent reporting.			
			Transformation Plan	Transformation plan			
			Performance Leads Network	To embed frameworks with staff and ensure high quality data and reporting			
			PMO Support	Programme management support available to support delivery of key programmes including the ICT Plan and Delivery Plan			