

2019-2020 Council Corporate Risk Register

Background Document B

Risk Description	Risk Owner	Inherent Risk Score	Existing Control Measure Description	Residual Risk Score	Target Risk Level	Actions to mitigate risk	Action Plan Owners	Status			
Failure of corporate governance leading to external intervention	Deputy CEO of Resource and Transformation	12	Risk Registers reviewed regularly	4	4	Ongoing Member Development. Review of Member Induction in order to ensure potentially new Members and / or Members new to specific roles Members receive appropriate training following May elections.	Legal Services Manager	Ongoing			
			Member Development, Scrutiny review undertaken. Working with North West Employers Organisation on extending cultural mapping to Members. Continuing effective and tailored Member development opportunities.								
			AGS Action Plan								
			Inclusive approach to AGS developed, implemented for 2018/19 AGS. Approach to be fully inclusive, AGS work to be a continual process throughout 2019/20.								
			Council Constitution and Codes of Conduct						Review of Council Constitution is a continual process in order to respond to changes in legislation and ensure risks identified are mitigated.	Legal Services Manager	Continual
									Ongoing work in respect of the Scheme of Delegation and Financial Regulations.	Legal Services Manager & Leadership Team	Ongoing
			Member and officer Protocol in place.								
Reduction in Government Grant threatens the financial sustainability of the Council	Deputy CEO of Resource and Transformation	12	Budget Forecasting within MTFS with regard to Annual LG Finance Settlement	4	4	National Budget delivered 29/10/18 and implications to be reviewed as part of budget process. Budget timetable in place.	Section 151 Officer	In Progress			
			5-year MTFS aligned to the 5-year Corporate Plan to ensure resources are allocated to deliver the corporate priorities			Currently MTFS aligns to the 5 year corporate plan.	Deputy Chief Executive (Regeneration & Growth)	Complete			
			Robust monitoring and reporting of progress in delivering the Corporate Plan and MTFS			Clear targets in the Corporate Plan with robust performance monitoring.	Deputy Chief Executive (Resources & Transformation)	In Progress			
			Financial Training for relevant staff and members			Approval in place for Legal & HR, Finance & Assurance and further opportunities are currently being developed with Chorley Borough Council.	Deputy Chief Executive (Resources & Transformation)	In Progress			
			Maintain high Council Tax and Business Rates collection rates								

Fraud & Corruption	Deputy CEO of Resource and Transformation	8	Fighting Fraud and Corruption Locally	6	3	A review of the Council's Anti Fraud & Corruption Strategy will be undertaken and a revised policy developed. Update anti-fraud Strategy	Interim Head of Shared Assurance	Jun-19	
						A review of the Council's Corporate Fraud & Corruption risks is to be undertaken across all services in conjunction with relevant Senior Officers.	Interim Head of Shared Assurance	Jun-19	
						Corporate Fraud & Corruption Risk Register to be developed and provided to Leadership Team.	Interim Head of Shared Assurance	May-19	
			Periodic training / awareness sessions carried out with officers				Interim Head of Shared Assurance	2019/20	
Failure to be compliant with new General Data Protection Regulations (GDPR)	Deputy CEO of Resource and Transformation	12	GDPR Action Plan	9	4	A GDPR Project Group & action plan has been developed and is monitored by the Programme Board.	Assistant Chief Executive (Resources & Transformation) SIRO		
	Monthly review of GDPR action plan by Programme Board								
		12		9	4	Develop Policies, process & procedures in respect of GDPR, Security Breaches & reporting to ICO  Develop a more inclusive approach to the review of Security breaches by developing an Internal Security group to review & take decisions on reporting to ICO	Assistant Chief Executive (Resources & Transformation)		
Impact of Brexit on Council Services	Deputy CEO of Resource and Transformation	12	Weekly policy review	9	6	We continue to take an overview of the potential impact through the Local Governance Association and through other networks	Assistant Chief Executive (Resources & Transformation) Interim Head of Shared Assurance SRBC Leadership Team (Leadership Team)	On going	
			Brexit negotiations and legislation under regular review for developments that may have an impact on services						On going
		12		9	6	Develop Risk Register and review risks relative to the impact on South Ribble of no deal Brexit  Work closely with LRF, External Audit & Lancashire Districts to develop risks and controls, action plans and understand impacts.	Interim Head of Shared Assurance SRBC Leadership Team (Leadership Team)	Feb-19  In place & Ongoing	
Failure of Information systems and data security	Deputy CEO of Resource and Transformation	8	Maintaining high level of ICT security, achievement of PSN accreditation.	6	4	Secured PSN compliance August 2018. The ICT service plan includes actions to ensure preparedness for annual review.	Director Of Customer and Digital		
			Development of annual ICT work programme					Developed work programme further to SOCITIM review and IT Health Check. This is included in the internal audit schedule for 2018/19 as another method to test our robustness in this area.	
			Implement recommendations of SOCITIM Review as appropriate						
			Digital Strategy Developed and Plan to deliver in place.			Develop individual project plans to deliver strategy over next 5 years	Director Of Customer and Digital	5 year plan	

Lack of capital funding to undertake large scale improvements to parks, open spaces and leisure facilities	Deputy CEO of Resource and Transformation	9	Capital programme reflects the priorities in the Corporate Plan	4	4	Corporate plan projects are monitored on a monthly basis by the Programme Board and Extended Leadership Team on a quarterly basis.	SRBC Leadership Team (Leadership Team)	Overdue
			Regular monitoring of Capital Programme					
Lack of staff resources, systems and / or the skills needed to deliver services and corporate plan and improvement activities	Deputy CEO of Resource and Transformation	12	Transformation Strategy approved by Cabinet	8	4	Implementation of the new organisational structure is underway with all post now appointed to, with the exception of Shared Services Posts. Shared Services Board to be reconvened after Extraordinary Council Meeting on 1st November due to possible change of political leadership.	Deputy Chief Executive (Resources & Transformation)	In Progress
			Policies including Pay Policy / Recruitment policy					
			Employee Benefits - keep under review and in line with best practice				SRBC Leadership Team (Leadership Team)	Ongoing
			Implement the Transformation Strategy action plans with a focus on organisational development					
			Transformation Strategy				SRBC Leadership Team (Leadership Team)	Complete
			Project Management System					
			Organisational Culture Review				SRBC Leadership Team (Leadership Team)	Ongoing
			Investment in organisational development, staff and member development					
Political decisions not taken by members in line with the Corporate Plan	Deputy CEO of Resource and Transformation	6	Cross party working	4	1	Future report on key issues will go to pre-scrutiny.	SRBC Leadership Team (Leadership Team)	In Progress
			Cross party Improvement Reference Group with external membership in place					
			Publication deadlines for Committee reports in place			Assistant Director of Scrutiny and Democratic Services	Ongoing	