


Corporate Risk Register Summary - March 2024

CR11

Current Score	Target Score	Initial Score	Risk Change
25	8	20	Unchanged 

Risk Description

As a result of skill shortages across various sectors, and less attractive employment offers in comparison to other organisations and locations (amplified by the current cost of living situation), there is a risk that we will not be able to recruit and retain sufficient numbers of qualified/experienced staff to manage and deliver quality services.

Date Risk Raised

01/03/2017

Risk Owner


Director of Human Resources & Org Dev

Risk Strategy

Treat

Risk Control/Action	Target Date
Review of HR & OD arrangements to ensure it is fully enabled to support council wide services.	01/10/2024
Review and continual development of strategic workforce planning approach in collaboration with services, to identify cross organisational skills, capacity and capability risks and requirements (current and future) and work with services to establish action plan for high risk and priority areas and roles.	01/09/2024
Regular review of the councils 'Right to Work' arrangements to ensure we meet the requirement of our duties as a sponsor.	Ongoing
Longer term strategies for addressing recruitment issues through apprenticeships scheme (growing our own).	Ongoing
Development and regular communication of comprehensive employee value proposition to support recruitment and retention.	Ongoing
Developing alternative arrangements to attract candidates for hard to recruit to roles including the use of specialist third party search agencies.	Ongoing
Conduct regular planning sessions with HR team and key stakeholders to continuously improve the efficiency of recruitment processes.	Ongoing
Benchmarking of salaries against peers across neighbouring LA's and private-public sector comparisons, with a focus on attracting and retaining talent for key areas, and consider activities to address outcomes.	Ongoing

CR39a

Current Score	Target Score	Initial Score	Risk Change
25	16	20	Unchanged 

Risk Description

Cyber threat is an evolving, persistent and increasingly complex risk to the ongoing operation of County Council. There is a risk of a successful cyber attack from external threats, either directly or through the use of AI to counter traditional mitigations; or indirectly as a consequence of members or staff falling prey to social engineering or phishing attacks. The potential outcome may lead to sign...

Date Risk Raised

01/03/2017

Risk Owner

Director of Finance & Support Services

Risk Strategy

Treat

Risk Control/Action	Target Date
Conduct tests including penetration, DR and social engineering. (conducted 6 monthly)	Ongoing
Ensure that cyber-attack is identified early, that reporting & monitoring is effective, and recovery can be prompt.	Ongoing
Improve staff awareness of personal & business information security practices & identification of cyber-security issues. Continued actions due to evolving threats.	Ongoing
Maintain IG Toolkit (NHS) & Public Service Network security accreditations.	Ongoing
Provide capacity & capability to align with National Cyber-Security centre recommendations.	Ongoing
Regular application of AI platform to help identify abnormal behaviour.	Ongoing
Regular review, measurement and evaluation of corporate (technological/process) / organisational (behavioural) response to current and emerging cyber threats, where applicable to undertake pertinent actions to mitigate risks identified.	Ongoing

CR22

Current Score
25

Target Score
12

Initial Score
16

Risk Change
Unchanged
➔

Risk Description

The financial sustainability of council services is at risk due to the lack of new funding from central government, the impact of economic conditions (mainly inflation and interest rates) and the growing services pressures, particularly around social care, home to school transport and SEND. There is a risk of failure to make the required decisions to ensure the budget is balanced.

Date Risk Raised
01/03/2017

Risk Owner
Director of Finance & Support Services

Risk Strategy
Treat

Risk Control/Action	Target Date
Annual review of five year MTFS published in July of each year, including five year forecast of reserves. Both will be based on assumptions around future funding and spending pressures using data, evidence and trends. All assumptions will be reviewed regularly in the run up to setting the budget each year and regularly through the year as more information becomes available.	Ongoing
Annual review of reserves undertaken to ensure they remain at a prudent level but can be used for one off unexpected spend. All use of risk and uncertainty reserves are assumed to be replenished and assumed within the MTFS position. Monitor the use of additional funds made available to improve service delivery.	Ongoing
Continue to lobby for fairer funding for Local Government through, fiscal announcements. Lobbying as individual County Council, part of the SE7 Group, SCT, CCN and through direct engagement with MPs. Responses provided to all relevant Government consultations on changes to ensure the Voice of West Sussex is heard.	Ongoing
Early planning for future budgets to ensure that any reductions needed are in a planned and structured manner, have robust delivery plans in place before building into budgets and full consultation is undertaken where required. This includes financial planning workshops with ELT and Cabinet.	Ongoing
ELT to monitor forthcoming inspections of services and identify any known financial implications, including additional capacity for inspection preparation and risk of any financial implications resulting from inspection outcome.	Ongoing
Monthly monitoring of the financial position reported to ELT, in addition to a separate report on Children's and Adults to consider mitigations for growing pressures and costs and progress against the delivery of savings.	Ongoing
Performance and Finance Scrutiny Committee to be supported to scrutinise for value for money principles in all reports.	Ongoing
Quarterly reporting through the PRR to all Scrutiny Committees and Cabinet	Ongoing
Regular engagement with other authorities to share best practice and also discuss challenges and solutions.	Ongoing
Regular review of sector specific publications and updates to ensure remain up to date on issues and changes impacting the financial position across the sector.	Ongoing
The budget and MTFS provides the financial framework for the delivery of the Council Plan and funding is focussed on delivering the priorities in the Council Plan and supporting our most vulnerable residents.	Ongoing

CR78

Current Score
20

Target Score
4

Initial Score
20

Risk Change
New
➔

Risk Description

If the programme to replace the Council's current Enterprise Resource Planning (ERP) system fails to fully engage with services to identify, define, control and deliver the scope and operational/functional requirements, there is a risk that the Council will not effectively adopt and operate Oracle Fusion as a new ERP software system nor realise the benefits derived from it.

Date Risk Raised
01/05/2024

Risk Owner
Chief Executive

Risk Strategy
Treat

Risk Control/Action	Target Date
Business case to be reviewed and agreed by Cabinet Member and presented to P&F Scrutiny.	01/05/2024
Develop and agree a robust programme governance structure with a strategic Steering Group empowered to make decisions and control over change requests.	Completed
ELT and programme sponsors to review scope prior to launch to ensure requirements have been captured, and deliverables have achievable milestones.	Ongoing
Highlight report reviewed monthly by ELT and Cabinet Member, and regular reporting to Performance and Finance Scrutiny Committee .	Ongoing
Internal Audit to conduct stage reviews of programme progress against business case.	Ongoing
Issues with effectiveness of current ERP software system to be escalated to ELT for awareness and/or intervention.	Ongoing
Monthly budget monitoring that provides actual and forecast spend information aligned to the business case budget.	Ongoing
Outcomes of design, phased user testing and business change plans to be reviewed by ELT.	Ongoing
Production, approval and resourcing of an engagement and communications strategy that works with services on organisational readiness, and provides Directors / Leadership Group with the information to support the programme.	Ongoing
Robust commercial strategy developed and implemented to secure suitable suppliers with right experience. Effective contract management monitored through Commercial Board and Steering Group.	Ongoing
Work with services to develop and implement programme of effective training to ensure system adoption, and business change benefits are realised.	Ongoing

CR58

Current Score
15

Target Score
9

Initial Score
25

Risk Change
Reduced
➔

Risk Description

The care market, and in particular the Lifelong Services and Mental Health market is experiencing significant fragility. This is anticipated to be related to factors such as but not limited to cost pressures, changing requirements and expectations, and workforce challenges (amplified by impending changes to Health and Care Visa). There is a risk of failure of social care provision which will result in funded and self-funded residents of West Sussex being left without suitable care.


Date Risk Raised
05/09/2018

Risk Owner
Director of Adults and Health

Risk Strategy
Treat

Risk Control/Action	Target Date
Annual review of fees paid to providers to support financial sustainability.	Ongoing
Continue to risk assess services against CQC criteria/requirements to manage impact on pipeline activity.	Ongoing
Financial analysis of high risk provision - due diligence checks.	Ongoing
In the event of an incident, ensure the consistent implementation of Emergency Response Plans, including a full de-brief and lessons learned.	Ongoing
Provision of regular support and communication to market providers to monitor financial sustainability.	Ongoing
Review capacity of residential and non-residential services to ensure service availability and to support identification of contingencies if needed.	Ongoing

CR50

Current Score	Target Score	Initial Score	Risk Change
12	6	20	Increased 

Risk Description

WSCC are responsible for ensuring the HS&W of its employees and residents/customers. If WSCC staff/services and maintained schools fail to comply with H&S statutory duties, responsibilities and processes (in accordance with WSCC governance arrangements and legal obligations), there is a risk that it will lead to a serious health, safety and wellbeing incident occurring.

Date Risk Raised

01/03/2017

Risk Owner


Director of Human Resources & Org Dev

Risk Strategy

Treat

Risk Control/Action	Target Date
H&S Reps Committee to receive assurance quarterly on the management of directorate H&S risks.	Ongoing
Incorporate HS&W information/performance measure onto new online audit tool.	Ongoing
Regular engagement with other LA's on best practice and lessons learned.	Ongoing
Regular engagement with services and ELT to ensure H&S responsibilities continue to be fully understood and embedded in BAU activities.	Ongoing
Work with Law Firm to develop and deliver training session for Headteachers, Governors and Senior Leaders in the Council to ensure awareness of H&S responsibilities and accountabilities.	Ongoing

CR73a

Current Score	Target Score	Initial Score	Risk Change
12	4	12	Unchanged 

Risk Description

Climate Change Mitigation - If there is a failure to adequately prioritise, finance, resource and embed into BAU our efforts to decarbonise in alignment with the commitments made in the Council's Climate Change Strategy, there is a risk that there will be insufficient capacity and capability to fully deliver the necessary actions within the stated timeframes. This will lead to additional resource strain, higher demand on capital programmes and threaten organisational reputation.

Date Risk Raised

01/01/2022

Risk Owner

Director for Place Services

Risk Strategy

Treat

Risk Control/Action	Target Date
Align pipeline of projects for existing and future funding opportunities	Ongoing
Built into county-wide Business Planning and budgeting process	Ongoing
Clear prioritisation of CC Strategy delivery within Our Council Plan	Ongoing
Recruitment and training policy to ensure all staff & elected members are suitably informed on climate change issues & that specialist skills are embedded through recruitment & training to enable delivery	Ongoing
SMART programme of actions based on clear definitions and metrics	Ongoing

CR73b

Current Score

12

Target Score

6

Initial Score

12

Risk Change
Unchanged



Risk Description

Climate Change Adaptation -West Sussex faces the high risk of increasing impacts of climate change including extreme heat, severe storms, flooding and sea level rise, among others. Without proactive consideration of and preparation for these impacts, WSCC assets, service delivery and West Sussex residents are at increased risk of damage, disruption and injury. This will lead to protracted service disruptions, dangerous conditions and increased reliance on emergency services. In the longer term t...

Date Risk Raised

01/01/2022

Risk Owner

Director for Place Services

Risk Strategy

Treat

Risk Control/Action

Target Date

Clear prioritisation of CC Strategy delivery within Our Council Plan

Ongoing

Existing assets and service delivery made climate change resilient & future developments designed to be as low carbon & climate change resilient

Ongoing

Recruitment and training policy to ensure all staff & elected members are suitably informed on climate change issues & that specialist skills are embedded through recruitment & training to enable delivery

Ongoing

Regular review and application of the Community Risk Management Plan (CRMP).

Ongoing

CR76

Current Score

12

Target Score

4

Initial Score

12

Risk Change
Unchanged



Risk Description

Natural England issued a Position Statement on 14 September 2021 that affects all planning applications not granted before that date within the Sussex North Water Supply Zone. This has essentially halted all WSCC plans and projects in the water supply zone until water neutrality can be demonstrated. There are number of impacts on and, potentially, opportunities for WSCC arising. The principal corporate risk is that the council will be unable to provide sufficient school places in the water neutrality area.

Date Risk Raised

01/06/2023

Risk Owner

Director of Place Services

Risk Strategy

Treat

Risk Control/Action

Target Date

Direct instruction and ongoing regular engagement with all schools (including academies) regarding entering into off-setting negotiations independently of WSCC.

01/04/2024

Produce centralised offsetting register that captures potential offsetting opportunities across WSCC estate.

Ongoing

Regular engagement with Local Planning Authorities.

Ongoing

Resource a robust set of centralised controls and initiatives to ensure identified offsetting opportunities are supported and secured in legal agreements.

Ongoing

Resources made available to support offsetting activities.

Ongoing

CR69

Current Score

10

Target Score

5

Initial Score

25

Risk Change
Unchanged



Risk Description

Children's Services have now been moved out of special measures as a result of the recent Ofsted inspection, however ILACS have outlined areas that require further development. If the council stall in their efforts to implement the planned improvements, there is a risk that the service will fail to progress all areas to a 'good' rating within a suitable timeframe.

Date Risk Raised

01/03/2020

Risk Owner

Director of Children, Young People and Learning

Risk Strategy

Treat

Risk Control/Action

Target Date

Implement the Children First Service transformation model.

Ongoing

Maintain quarterly self-evaluation process.

Ongoing

Maintain robust performance management and quality assurance frameworks which include the delivery of the Children First Continuous Improvement Plan (CIP).

Ongoing

Ongoing monitoring through the independently chaired Continuous Improvement Board.

Ongoing

CR61

Current Score

10

Target Score

10

Initial Score

25

Risk Change
Unchanged



Risk Description

A 'serious incident' occurs resulting in the death or serious injury of a child where the Council is found to have failed in their duty to safeguard, prevent or protect the child from harm.

Date Risk Raised

01/06/2019

Risk Owner

Director of Children, Young People and Learning

Risk Strategy

Tolerate

Risk Control/Action

Target Date

Implementation and monitoring of Continuous Practice Improvement Plan (CPIP).


Ongoing

Provide proactive improvement support to services to assure effective safeguarding practices.

Ongoing

The ILACS cycle has been completed and there are no further inspections planned for this year.

CR77

Current Score	Target Score	Initial Score	Risk Change
10	10	10	New 


Risk Description

If the council have ineffective or untested disaster recovery arrangements internally and in collaboration with partners/third parties, there is a risk that we will not be adequately prepared to respond to and recover from unplanned or unexpected serious/critical civil or malicious incidents (e.g. significant local or regional power outages, CBRN, pandemics, fuel shortages). T...

Date Risk Raised	01/04/2024
Risk Owner	Chief Executive
Risk Strategy	Tolerate

Risk Control/Action	Target Date
1. Regular review of corporate risk profile and consideration of National and Regional (Community) Risk Registers.	Ongoing
2. Ensure arrangements are in place for WSCC to respond to simultaneous/critical events.	Ongoing
3. Development, periodic testing and review of the Corporate Response and Recovery Plan, including post-event learning.	Ongoing
4. Ensure service business continuity plans are in place.	Ongoing
5. Production and regular review of WSCC Business Continuity Policy, ensuring roles and responsibilities are communicated.	Ongoing
6. WSFRS compliance with legislation to understand and mitigate West Sussex's community risk through strategic and local risk management.	Ongoing
7. Carry out emergency planning training across all organisational planning levels (strategic/tactical/operational).	Ongoing

CR39b

Current Score	Target Score	Initial Score	Risk Change
9	9	20	Unchanged 

Risk Description

Data protection responsibilities. The Council is a Data Controller and has obligations and responsibilities arising from that role. Council needs resources, skills, knowledge, systems and procedures to ensure obligations are met.

Date Risk Raised	01/03/2017
Risk Owner	Director of Law & Assurance
Risk Strategy	Tolerate


Risk Control/Action	Target Date
Adopt ISO27001 (Information Security Management) aligned process & practices.	Ongoing
Enable safe data sharing, including using appropriate data standards & appropriate anonymization techniques.	Ongoing
Maintain and refresh systems of control to ensure that access to sensitive data and information is controlled.	Ongoing
Maintain IG Toolkit (NHS) & Public Service Network security accreditations.	Ongoing
Secure additional capacity for data protection team to further reduce risk of non-compliance with statutory deadlines.	01/01/2024
Test the effectiveness of DPIA	Ongoing

CR7

Current Score
4

Target Score
4

Initial Score
16

Risk Change
Unchanged


Risk Description

There are governance systems which are not used fully and to best effect, and some which do not fit well together. This inhibits effective performance and delivery and frustrates those involved. Skills and knowledge of systems are patchy and excessive effort required for sound decisions and outcomes.

Date Risk Raised
01/12/2019

Risk Owner
Director of Law & Assurance

Risk Strategy
Tolerate

Risk Control/Action	Target Date
Audit plan focussing reviews on key corporate support systems to identify areas in need of improvement.	Ongoing
Examples of non-compliance used to inform Directors to enforce compliance with standards.	Ongoing
Regular monitoring and active corporate support to establish better practice.	Ongoing
Training focused on CMT and senior officers involved in decision governance.	Ongoing