Strategic Risk Register Progress Report

Strategic Risk: Service Failure

No	Risk	Sub No.	Sub-Risk	% Overall Weighting	Impact / Consequences	Opportunity	Gross Risk Score			Controls and Mitigation	Nett Risk Score			Further Actions	Risk Manager	CLT Risk Owner	Target Date	Council Priority
							I	L	GS		I	L	NS					
2	Service Failure	2a	Removal of Children's Services from the Council's control.	40%	Loss of direct managerial and financial control.	Implementation of robust working practices in a Council run Children's Services.	5	5	25	Recommendations made by OFSTED have been articulated in clear plans which have driven the work of the senior leadership team in Children's Social Care.	5	4	20	Plans continue to align with the OFSTED recommendations and will continue to reference them until the point of a re-inspection.	Assistant Director of Children's Social Care	Director of Children's Services	March 2022	Organisational Resilience
					Increased insurance premiums.					Plans are being monitored through the "Getting to Good" board and regularly reviewed by the Chief Executive, lead member for Children's Services and Leader of the Council.				Continue to work with the DfE Improvement Advisor to continue to embed changes in practice.	Assistant Director of Children's Social Care	Director of Children's Services	March 2022	
					Recruitment and retention issues.					Since the inspection the Council has been subject to scrutiny from the DfE appointed commissioner who confirmed that the authority was leading the required change effectively.				Appoint a new Director of Children's Services to continue to lead the improvement journey.	Head of Organisational and Workforce Development	Chief Executive	June 2021	
					Reputational damage.					In August 2019 and December 2019, OFSTED have undertaken monitoring visits to review progress and have noted areas of improvement against their recommendations, particularly with reference to the Multi Agency Safeguarding Hub; the "front door" to children's social care services.				Implement robust transition arrangements until the new Director of Children's Services is appointed.	Head of Organisational and Workforce Development	Chief Executive	April 2021	

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No	Risk	Sub No.	Sub-Risk	% Overall Weighting	Impact / Consequences	Opportunity	Gross Risk Score			Controls and Mitigation	Nett Risk Score			Further Actions	Risk Manager	CLT Risk Owner	Target Date	Council Priority
							I	L	GS		I	L	NS					
2	Service Failure	2b	Failure of a service provider in high risk contracted areas for statutory services.	15%	Increased costs.	Robust service provision.	5	5	25	Robust procurement procedures in place to help ensure appropriate due diligence of potential contractors.	5	3	15	Implement the new Lancashire and Blackpool Waste Strategy that the Lancashire Waste Partnership are currently producing which will be out to consultation early Spring. Key elements relate to a non-landfill solution for residual waste, disposal, markets sustainability, and food waste collection.	Head of Waste and Environmental Operations	Director of Community and Environmental Services	September 2021	Organisational Resilience
					Possible loss of capacity in the market place.	Added value delivered through contracted services.				Corporate procurement team in place to support the procurement process and tender evaluation.				Strengthen contract management across the Council through addressing the recommendations made in the internal audit report 2019/20.	Head of Procurement	Director of Resources	March 2022	
					Legal challenges resulting in contract award being delayed.					Contract management guide in place to advise responsible officers how to undertake contract management.								
					Contracts are not effectively managed resulting in inadequate service provision / unnecessary costs.					Intelligent clients who have oversight of the market, high level contingency planning, and staff experienced in dealing with service failure.								
					Reputational damage to the Council.					Commissioning Team in place to work with the marketplace to ensure access to appropriate services.								
										The domestic waste service has been brought back under the umbrella of the Council's wholly owned companies portfolio.								

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No	Risk	Sub No.	Sub-Risk	% Overall Weighting	Impact / Consequences	Opportunity	Gross Risk Score			Controls and Mitigation	Nett Risk Score			Further Actions	Risk Manager	CLT Risk Owner	Target Date	Council Priority
							I	L	GS		I	L	NS					
2	Service Failure	2c	Loss of key infrastructure and resource which results in Council services not being delivered.	15%	Inability to deliver critical services.	Build a resilient and agile organisation.	5	5	25	Business continuity programme in place which links to the Council's Major Emergency Plan.	5	3	15	Look for provisions for data centre refresh in the coming years to continue to provide resilience.	Head of ICT Services	Director of Resources	March 2022	Organisational Resilience
			Deterioration of Council assets beyond economic repair.							Corporate business continuity plan in place supported by a critical activity list.				Implement the new HR and Payroll system across the Council.	Head of Organisational and Workforce Development / Chief Accountant	Chief Executive / Director of Resources	April 2022	
										Corporate ICT and Property business continuity guidance in place.				Implement the new finance system across the Council.	Chief Accountant	Director of Resources	April 2023	
										Annual review of planned property maintenance undertaken and agreed with the Corporate Asset Management Group.				Complete the roll-out of the revised service level business continuity plan template.	Head of Audit and Risk	Director of Resource	September 2021	
										Vehicle maintenance and inspection programme in place.				ENVECO Phase 2 proposal to integrate fleets to result in increased vehicle efficiency and sustainability.	Head of Waste and Environmental Operations	Director of Community and Environmental Services	September 2021	
										Business continuity is included for discussion at the various risk management groups.				Consider lessons learned from the pandemic in terms of ways of working, and seek to maximise opportunities to increase better use of technology and rationalisation of the property portfolio.	Head of Property Services / Head of ICT	Director of Resources	June 2021	
										Links with the Lancashire Resilience Forum to consider business continuity in the local government sector.								
										Ongoing review of vehicle usage, and the vehicle replacement programme, to increase resilience and efficiency.								

Strategic Risk Register Progress Report

No	Risk	Sub No.	Sub-Risk	% Overall Weighting	Impact / Consequences	Opportunity	Gross Risk Score			Controls and Mitigation	Nett Risk Score			Further Actions	Risk Manager	CLT Risk Owner	Target Date	Council Priority
							I	L	GS		I	L	NS					
2	Service Failure	2d	Cyber Threats	30%	Cyber fraud.	Improved knowledge and awareness across departments on identifying phishing emails.	5	5	25	Investment in Sandbox technology.	5	4	20	Continue to develop and refine technologies to provide proactive altering and monitoring of the changing threats.	Head of ICT Services	Director of Resources	March 2022	Organisational Resilience
					Reputational damage.	Participate in training and knowledge gathering opportunities.				SEIM (Security Information Event Management) implemented to proactively monitor activity on the network.				Review use of white listing to mitigate risk of being hijacked.	Head of ICT Services	Director of Resources	March 2022	
					Loss of compliance with security regimes.	Robust cyber security controls in place.				The use of blacklists / reputation to authenticate emails received.								
					Loss of confidence in using Council on-line services.					Proactive engagement with regional and national cyber security agencies.								
					Monetary penalties / fines.					ICT Security Policy in place supported by mandatory Cyber Awareness Training.								
										Contracted specialist third party cyber breach advice in place.								
										Two internet connections maintained to provide resilience.								
										Artificial intelligence being used to further detect and reduce the amount of SPAM e-mails.								
										Cyber incident exercises undertaken with partner organisations.								
										Cyber policy in place with reputable insurer providing breach response and liability cover.								
										Full Sender Policy Framework (SPF) checking in place and adherence to the NCSC guidelines for Securing Government email.								
										Cyber risk awareness sessions held at the various risk management groups across the Council.								
									Overall Nett Risk Score			18.5					

Strategic Risk Register Progress Report

Sub-Risk: Removal of Children's Services from the Council's control. (weighting 40%)		Gross Risk Score	Nett Risk Score
		25	20
	Risk Score in 2020/21	25	20

Risk Owner: Director of Children's Services, Chief Executive

Existing Controls in Place:
- Recommendations made by OFSTED have been articulated in clear plans which have driven the work of the senior leadership team in Children's Social Care.
- Plans are being monitored through the "Getting to Good" board and regularly reviewed by the Chief Executive, lead member for Children's Services, and Leader of the Council.
- Since the inspection the Council has been subject to scrutiny from the DfE appointed commissioner who confirmed that the authority was leading the required change effectively.
- In August 2019 and December 2019, OFSTED have undertaken monitoring visits to review progress and have noted areas of improvement against their recommendations, particularly with reference to the Multi Agency Safeguarding Hub; the "front door" to children's social care services.

Actions:

Actions	Risk Manager	Current Position	Outcomes / Results
Plans continue to align with the OFSTED recommendations and will continue to reference them until the point of a re-inspection. (Target Date: March 2022)	Assistant Director of Children's Social Care	- Following the inadequate opinion from Ofsted in 2018 the service continues to work hard as part of its improvement journey. - A Getting to Good Plan is in place which is monitored by the Getting to Good Board to ensure that adequate progress continues to be made. Every plan which is developed by Children's Social Care is mindful of the Ofsted recommendations and how these can be embedded into working practices. - Ofsted carried out a monitoring visit in September 2021 and is likely to undertake more monitoring visits before a full re-inspection of the service which is likely to take place in Autumn 2022.	Positive outcome from future Ofsted inspections to demonstrate that the Council delivers an effective service to its children.
Continue to work with the DfE Improvement Advisor to continue to embed changes in practice.	Assistant Director of Children's Social Care	- The service continues to work closely with the DfE Improvement Advisor. - Monthly meetings are held between the Director of Children's Services, Assistant Director, Heads of Service, and the DfE Improvement Advisor.	Improved outcomes for children.

(Target Date: March 2022)		• The DfE Improvement Advisor provides regular highlight reports and completed a six monthly stocktake in July 2021 which presented a positive outcome in terms of improvements.	
Implement robust transition arrangements until the new Director of Children's Services is appointed. (Target Date: April 2021)	Head of Organisational and Workforce Development	• Interim arrangements were implemented, however were only needed in the short term. During this period the Assistant Director of Children's Social Care acted up in the role and performed this well. • Following a successful recruitment campaign for a substantive Director of Children's Services, an agreement was reached with the candidate's previous employer to release them early to Blackpool.	• Effective handover.
Appoint a new Director of Children's Services to continue to lead the improvement journey. (Target Date: June 2021)	Head of Organisational and Workforce Development	• A new Director of Children's Services is in place. • A full induction was carried out for the new Director of Children's Services. They have also spent time meeting with services and partner agencies (including statutory, voluntary and community) in order to build a good understanding of Blackpool, its strengths, and the areas for development.	• Statutory position filled.

Sub-Risk: Failure of a service provider in high risk contracted areas for statutory services. (weighting 15%)	Gross Risk Score	Nett Risk Score
	25	15
Risk Score in 2020/21	25	15
Risk Owner: Director of Community & Environmental Services, Director of Resources		

Existing Controls in Place:
- Robust procurement procedures in place to help ensure appropriate due diligence of potential contractors.
- Corporate procurement team in place to support the procurement process and tender evaluation.
- Contract management guide in place to advise responsible officers how to undertake contract management.
- Intelligent clients who have oversight of the market, high level contingency planning, and staff experienced in dealing with service failure.

Strategic Risk Register Progress Report

•	Commissioning Team in place to work with the marketplace to ensure access to appropriate services.
•	The domestic waste service has been brought back under the umbrella of the Council's wholly owned companies portfolio.

Actions:

Actions	Risk Manager	Current Position	Outcomes / Results

Implement the new Lancashire and Blackpool Waste Strategy that the Lancashire Waste Partnership are currently producing, which will be out to consultation early Spring. Key elements relate to a non-landfill solution for residual waste, disposal, markets sustainability, and food waste collection.
 	
(Original Target Date: September 2021)
 	
(Revised Target Date: March 2022)
	Head of Waste Policy & Partnerships	• A member-lead task-and-finish group has been assembled from within the Lancashire Waste Partnership with a view to developing a draft strategy for consultation, initially due early Spring 2021.
		• The development of the draft strategy has been delayed, mainly due to the following factors:
		  - Covid-19 and associated impacts related to the pandemic.
		  - Potential impacts as a result of the UK's exit from the EU have been given due consideration. The development of a new local strategy will seek to mitigate any potential risks by focusing on reducing the need to export waste through developing local capacity for Refuse Derived Fuel (RDF) and recyclable materials.
		  - Perhaps the most notable issue relates to the procurement of the post 2025 non-landfill solution and also the emergence of new technology in response to the increasingly pressing issue of the climate emergency. As a result of this there has been a conscious decision to deliberately further delay the procurement of this solution.
		  - New and emerging technology is now a serious factor in whatever future options we choose, and will have a direct impact on the processes and methodology of waste processing.
		  - Lack of clarity from central government, and low confidence from the private sector to invest without surety, represent significant obstacles and delays to the strategy.
			• Implementation of cost effective and climate friendly waste disposal.

Strengthen contract management across the Council through addressing the recommendations made in the internal audit report 2019/20.	Head of Procurement	• A Contract Management iPool course is available to all staff and this is promoted via the Hub periodically. • Upon completion of a tender, a handover takes place whereby key documentation is issued from the Procurement Team to the Officer who will be responsible for managing the contract – this will include a copy of the contract and key schedules including any contract monitoring arrangements	• Robust contract management arrangements.

| (Target Date: March 2022) | | specific to the contract along with key performance indicators. The handover will also include the provision of a link to the contract management iPool training course.
• A Contract Management Code of Practice is also available to all Officers.
• Some members of the Procurement Team, who have responsibility for managing corporate contracts, have undertaken supplementary contract management training via the Local Government Association and this training will be used to refine existing guidance documents.
• If necessary, bespoke face to face training will be reintroduced for officers in high risk areas. | |

Sub-Risk: Loss of key infrastructure and resource which results in Council services not being delivered. (weighting 15%)		Gross Risk Score	Nett Risk Score
		25	15
	Risk Score in 2020/21	25	15

Risk Owner: Director of Resources, Chief Executive, Director of Community & Environmental Services

Existing Controls in Place:
- Business continuity programme in place which links to the Council's Major Emergency Plan.
- Corporate business continuity plan in place supported by a critical activity list.
- Corporate ICT and Property business continuity guidance in place.
- Annual review of planned property maintenance undertaken and agreed with the Corporate Asset Management Group.
- Vehicle maintenance and inspection programme in place.
- Business continuity is included for discussion at the various risk management groups.
- Links with the Lancashire Resilience Forum to consider business continuity in the local government sector.
- Ongoing review of vehicle usage, and the vehicle replacement programme, to increase resilience and efficiency.

Actions:

Actions	Risk Manager	Current Position	Outcomes / Results

Strategic Risk Register Progress Report

Look for provisions for data centre refresh in the coming years to continue to provide resilience. (Target Date: March 2022)	Head of ICT Services	- A one off capital (£1.8million) was set aside to invest in the Council's data centre and network infrastructure as part of the move to Bickerstaffe in 2014. - The infrastructure reserve, whilst seemingly in a healthy position, is now starting to come under pressure, however funds are set aside on an annual basis for equipment refresh. - The Local Area Network that is end of life has been replaced recently in Bickerstaffe and this also needs doing at other Council office sites and with other customers such as schools and Council companies. - There is also elements of server infrastructure coming to the end of life, and the need to provide hybrid meeting room systems is also adding some pressure. - Some capital expenditure is being avoided by moving some services to the cloud and by delivering the network and telephony differently, such as via wireless and headsets, thereby avoiding capital costs for wired connections and handsets.	There is no immediate issue because there is sufficient funds in the reserve to invest in updating the network and keeping the infrastructure/data centre performing in the short term.
Implement the new HR and Payroll system across the Council. (Target Date: April 2022)	Head of Organisational and Workforce Development / Head of Accountancy	- The contract for the new HR / Payroll system has been awarded after a robust procurement process. - A Project Board is in place overseeing the project and a number of project sub-groups are in place leading on delivery of the project. - The Head of Audit and Risk is a member of the Project Board to provide advice on risk and control matters throughout the project. - A dedicated Project Manager has been appointed to jointly deliver this system, and also the finance system. Whilst there are two separate systems, this joint approach to project management helps ensure that resources are not overwhelmed. - Additional capacity has been brought in to support the services with resource during the implementation phase. - A project plan is in place which is regularly updated, with a target of the new system being implemented by April 2022. - Key stages in the project plan include data migration, user acceptance testing, training, communications and dual running. - A project risk register is in place which is considered by exception at Project Board meetings.	Implementation of an efficient HR and payroll system.

		• This project was reviewed as part of a piece of audit consultancy to identify lessons learned to date.	
Implement the new finance system across the Council. (Target Date: April 2023)	Head of Accountancy	• The contract for the new financial management system has been awarded after a robust procurement process. • A dedicated Project Manager has been appointed to jointly deliver this system, and also the finance system. Whilst there are two separate systems, this joint approach to project management helps ensure that resources are not overwhelmed. • Additional capacity has been brought in to support the services with resource during the implementation phase. • The Head of Audit and Risk is a member of the Project Board to provide advice on risk and control matters throughout the project. • Steps are being taken to work with the software provider to prepare a project plan to ensure successful implementation by April 2023. • Once a robust project plan is in place setting out the key stages of the project, a number of sub-groups will be established in order to deliver the work. • A project risk register will be developed to support delivery of the project plan. • This project was reviewed as part of a piece of audit consultancy to identify lessons learned to date.	• Implementation of an efficient Financial Management system.
Complete the roll-out of the revised service level business continuity plan template. (Target Date: September 2021) (Revised Target Date: March 2022)	Head of Audit and Risk	• Progress is being made in transferring all services however the deadline has slipped due to the priority of supporting all services with business continuity advice during the pandemic. • Plans are in place for the Risk and Resilience Team to liaise with all services by the end of this financial year in order to update their service level business continuity plans. • The current position is as follows: <table><tr><th>Directorate</th><th>Complete</th><th>In Progress</th><th>Yet to Start</th></tr><tr><td>Adult Services</td><td>83%</td><td>17%</td><td>0%</td></tr><tr><td>Chief Executives</td><td>67%</td><td>33%</td><td>0%</td></tr></table>	• More robust and consistent business continuity plans in place for all services.

		Children's Services	0%	0%	100%	
		Communications and Regeneration	79%	0%	21%	
		Community & Environmental Services	73%	0%	27%	
		Governance & Partnerships	100%	0%	0%	
		Public Health	100%	0%	0%	
		Resources	17%	33%	50%	
ENVECO Phase 2 proposal to integrate fleets to result in increased vehicle efficiency and sustainability. (Target Date: September 2021)	Head of Waste Policy & Partnerships	• Following an 18 month project to integrate the remaining traditional, depot delivered Street Scene services in to Blackpool Waste Services (ENVECO), the fleet, staff and services have been fully integrated in to a wholly owned waste and environmentally focused company.				• Improved environmental outcomes for residents, businesses and visitors.
Consider lessons learned from the pandemic in terms of ways of working, and seek to maximise opportunities to increase better use of technology and rationalisation of the property portfolio. (Original Target Date: June 2021) (Revised Target Date: March 2022)	Head of Property Services / Head of ICT	• The Council is taking a cautious approach to the return to the office and most Covid Secure arrangements are still in place therefore reducing the number of desks available for use. The deadline for this piece of work has been revised to align with the intended release of the currently restricted desks. • Whilst working in a Covid Secure way the Health and Safety Team has been undertaking workplace inspections across a range of Council buildings to ensure that the controls are adhered to. • A staff survey was undertaken which has highlighted that the majority of staff are supportive of a move to hybrid working. • The Council is seeking to adopt an agile work style, embracing the positive changes that the Covid pandemic has had on the way Council Services are delivered, with some staff working from home part time and in the office part time. • Staff have adapted extremely well during the lock down restrictions, bringing forward transformational change in the way that services are delivered.				• Enablement of hybrid working which potentially enables office rationalisation. • Work life balance benefits for employees.

		• The Council has considered what impact this shall have on its property and office requirements for the future, with the expectation that the core Council offices will reduce from a 7 to 10 desk ratio, to a 5 to 10 desk ratio on average. This will enable further rationalisation of the Council's operational portfolio and present opportunities to active further savings on property running costs and sites for disposal or development. • Council companies are also being encouraged to adopt similar principles where appropriate to do so. • New technology and software has enabled more remote working in the majority of service areas, providing customer support and access to be delivered in different ways. • The ICT Service has recently removed telephone handsets and moved colleagues on to headsets to support hybrid working. • The ICT service has also been piloting hybrid meeting room systems and is starting to introduce a shared meeting room system to enable meetings to be held in hybrid mode so colleagues have a choice of working and attending meetings either from home or the office.	

Sub-Risk: Cyber Threats (weighting 30%)	Gross Risk Score	Nett Risk Score
	25	20
Risk Score in 2020/21	25	20

Risk Owner: Director of Resources

Existing Controls in Place:
- Investment in Sandbox technology.
- SEIM (Security Information Event Management) implemented to proactively monitor activity on the network.
- The use of blacklists / reputation to authenticate emails received.
- Proactive engagement with regional and national cyber security agencies.
- ICT Security Policy in place supported by mandatory Cyber Awareness Training.
- Contracted specialist third party cyber breach advice in place.
- Two internet connections maintained to provide resilience.

Strategic Risk Register Progress Report

•	Artificial intelligence being used to further detect and reduce the amount of SPAM e-mails.
•	Cyber incident exercises undertaken with partner organisations.
•	Cyber policy in place with reputable insurer providing breach response and liability cover.
•	Full Sender Policy Framework (SPF) checking in place and adherence to the NCSC guidelines for Securing Government email.
•	Cyber risk awareness sessions held at the various risk management groups across the Council.

Actions:

Actions	Risk Manager	Current Position	Outcomes / Results
Continue to develop and refine technologies to provide proactive altering and monitoring of the changing threats. (Target Date: March 2022)	Head of ICT Services	• The ICT Service has several systems that are now proactively providing alerts to cyber threats in real time. These alerts are extremely valuable as they enable quick detection and thwart attacks, limiting risks quicker than ever before.	• Cyber-attacks being intercepted and thwarted.
Review use of white listing to mitigate risk of being hijacked. (Target Date: March 2022)	Head of ICT Services	• The ICT Service has significantly reduced whitelisting.	• Reduced the risk of successful phishing attacks.