

Risk number	Description of area of risk	Strategic Objective	Risk owner	Inherent			Control action to mitigate Likelihood <i>(Detailed actions in the Operational Risk Register)</i>	Control action to mitigate Impact <i>(Detailed actions in the Operational Risk Register)</i>	Current			Management response	Target		
				Likelihood	Impact (time, cost, quality)	Score			Likelihood	Impact (time, cost, quality)	Score		Likelihood	Impact (time, cost, quality)	Score
SR1	If the SPSO does not engage effectively to explain our role and remit and demonstrate the positive impact of all areas of our work this may impact on our remit, undermine our reputation and inhibit our ability to drive and deliver learning and improvement.	Access to justice though everyday rights Agile capacity Standards and impact Efficiency	SPSO	4	4	16	~ Governance structures explicitly require impact and engagement to be integral to corporate decision making ~ Planning and delivery of control measures	~ Stakeholder engagement and communication strategy ~ ARFS ~ Spotlight and other special reports, leaflets and materials ~ Responding to consultations and working groups ~ Communicate SPSO role and remit clearly and effectively ~ Evidence giving to Parliament(s) and Inquiries	4	3	12	Treat	2	2	4
SR2	If SPSO has inappropriate levels of funding to develop and maintain capacity to meet demand we may be unable to resource the organisation to deliver our statutory functions to time, quality and standards set; may be unable to deliver value-adding projects; or may have to reduce overcapacity in the short-term impacting on long term delivery.	Agile capacity Standards and Impact Efficiency	SPSO	4	5	20	~ Strategic Plan laid before Parliament with resourcing scenarios ~ Medium term financial plan (under development) ~ Workforce plan (under development) ~ Engagement with SPCB through budgetary cycle and ongoing contact ~ Sound governance arrangements that link resource/ workforce planning to decision-making	~ Engagement with SPCB and access to contingency fund (where necessary), and ongoing contact ~ Flexible approaches to ongoing workforce capacity management ~ Sound budgetary management ~ effective and realistic business planning and BP management, informed by risk and data ~ horizon scanning to anticipate future impact	4	4	16	Treat	4	3	12
SR3	If the SPSO does not maintain and develop human resource skills and capacity where and when needed to be effective and efficient (across all areas of jurisdiction), our work plan will not be delivered by sufficiently, motivated, skilled and supported colleagues to time and quality standards set.	Access to justice though everyday rights Agile capacity Efficiency	SPSO	3	4	12	~ Approach to developing capacity outlined in the Strategic Pla ~ Workforce planning ~ Strategic approach to personal/ organisational development ~ Engagement with budget process	~ Application and monitoring of Workforce Plan (under development) ~ Personal and organisation training to support personal development and business need; through engagement with staff and representatives and annual PDP process ~ Coordinated training and development programme; agile and creative delivery approaches ~ Identification of L&D implications when corporate decision making	3	3	9	Treat	2	2	4
SR4	If the SPSO does not have in place, maintain and apply robust governance systems and policies and procedures , clearly linked to output and performance , we will be unable to deliver and demonstrate value for money, effective and efficient service, and not meet all our statutory duties.	Agile capacity Efficiency Standards and impact	SPSO	2	4	8	~ Strong governance structures in place through the scheme of control, internal and external audit plans. ~ Handbooks for all areas of casework and corporate governance. ~ A clear, risk-based approach to casework Quality Assurance, set out in the QA programme guidance ~ Clear Ombudsman Scheme of Delegation	~ Ongoing performance and governance oversight ~ Applying learning from QA, Customer Feedback and CSCs ~ regular review of handbooks and policies ~ robust PDP processes	1	2	2	Tolerate	1	2	2
SR5	If the UK or Scottish governments introduce, or fail to introduce, and update legislation, regulations, guidance or policies, or take decisions that impact on the delivery of Scottish public services , this may result in systemic delivery and resourcing issues across the public sector, SPSO included. This could impact (positively or negatively) on our ability to meet statutory duties to achieve the best outcome for service users.	Access to justice though everyday rights Agile capacity Standards and impact	SPSO	3	4	12	~ Engage in consultation on legislation, policy etc ~ Engagement and Communication Strategy ~ Horizon scan for strategic opportunities ~ Engagement with Parliamentary Committees	~ Report our findings and views in ARFS, Spotlight and special reports ~ work collaboratively with stakeholders through our stakeholder and communication strategy ~ agile and adaptive approaches to SPSO service delivery	3	3	9	Treat	3	2	6
SR6	If SPSO or one of our stakeholders or suppliers, is subject to a cyber incident we may be unable to meet our statutory functions and deliver our strategic plan to time and quality, and incidents may undermine trust and confidence in our services.	Agile capacity Efficiency	SPSO	5	5	25	~ Cyber security plan ~ Cyber essentials accreditation ~ Business continuity plan ~ Effective stakeholder engagement ~ Data management to minimise data shared and methods ~ Horizon scanning ~Contractual arrangements with suppliers	~ regular and ongoing training and development ~ Business Continuity Plan reviewed regularly with appropriate testing and liaison with third parties. ~ Ongoing engagement with contractors, cyber security plans/ partners ~ Constant review of data sharing - what, how and how often ~ Organisation to attend relevant briefing sessions and remain informed of the risk and implement appropriate protections.	4	4	16	Treat	4	3	12
SR7	If SPSO cannot maintain business continuity due factors (separate to cyber incident) outside our control (at local, national and international level) and do not have effective contingency plans we will be unprepared and unable to meet our statutory functions and deliver our strategic plan.	Access to justice though everyday rights Agile capacity Standards and impact Efficiency	SPSO	3	5	15	~ Business continuity plan ~ Clear HR and workforce policies and planning ~ Technology base to be home working ~ Workforce Plan (under development)	~ LT and LPO horizon scan, monitor developments and attend briefing, information and discussion sessions ~ Overview of devolved and non-devolved matters, and wider economic policies ~ Clear policies and procedures for staff at all levels, explaining roles, responsibilities and actions ~ Monitor internal impact and respond to Scottish Government (and where appropriate UK Govt) impact surveys.	3	2	6	Treat	3	2	6
SR8	If SPSO fails to understand and adapt to the threats and opportunities posed by climate change , then this may lead an inability to meet our statutory duties, reputational damage, environmental damage and potential financial penalties.	Access to justice though everyday rights Agile capacity Efficiency	SPSO	4	3	25	~ Climate Change and Green group to horizon scan, monitor developments and keep LT updated. ~ Climate Change, Environment and Sustainability Strategy and Adaptation Risk Assessment that will plan and control this risk (under review).	~ Climate Change and Green group to horizon scan, monitor developments and keep LT updated. ~ Application of policy and strategy and monitoring of effectiveness ~ Strategy realisation and associated actions managed through the Climate Change and Green group.	2	3	6	Treat	2	2	4
SR9	If SPSO fails to understand and adapt to the threats and opportunities posed by technological (including digital and AI), economic and structural public sector change in a flexible and agile way, this may impact on our ability to meet our statutory duties to achieve the best outcomes for the public.	Agile capacity Efficiency	SPSO	4	4	16	~ Data Strategy and Working Group ~ AI and Technology monitoring ~ Stakeholder engagement and horizon scanning ~ Monitoring and awareness raising of how BUJs and other organisations apply and use AI/ Technology across a range of applications	~ Data Strategy working group, monitoring and reporting ~ Flexible approaches to trialling and adoption	3	4	12	Treat	3	3	9
SR10	If the SPSO does not have in place strong employment, wellbeing and workplace policies and procedures we may not meet our statutory duties and organisational aims, in line with our values and in such a way that builds trust and confidence in the organisation. This in turn could impact on morale and capacity.	Access to justice through every day rights Agile capacity Efficiency	SPSO	3	4	12	~ Strong supportive policies and procedures built on a culture of trust and collaboration ~ Wellbeing Strategy	~ Review and listen to views based on ongoing consultation and review, staff surveys and IIP feedback ~ Keeping HR Handbook and policies under review ~ monitoring and reporting progress on Wellbeing Strategy	2	3	6	Treat	1	2	2