


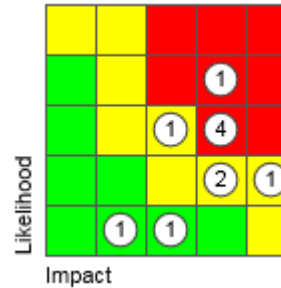










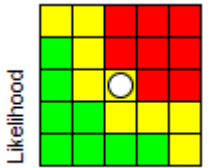
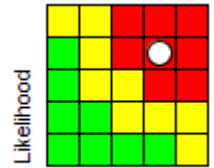
NEW: Selby District Council Corporate Risk Register 2018-2020


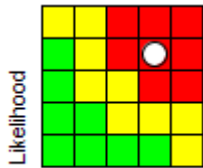
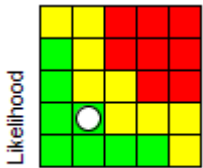
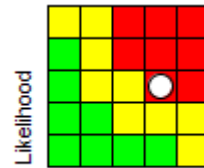
Overview: July 2018


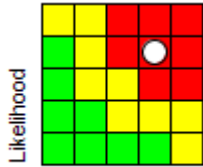
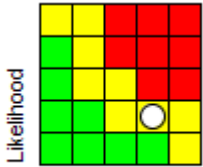
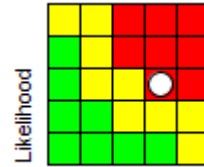
Risk Status	
	High Risk
	Medium Risk
	Low Risk


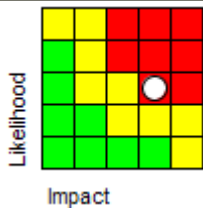
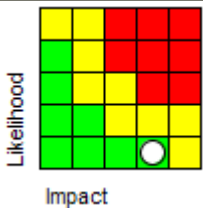
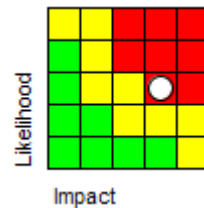



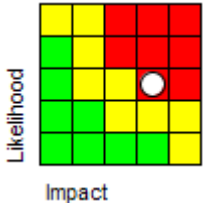
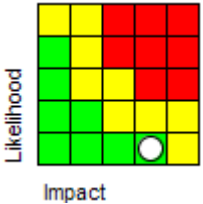
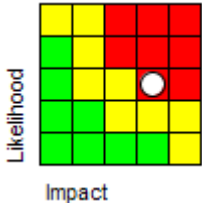
Status	Code	Risk Score (July 2018)	Title
	SDC_CRR_003	16	Financial Resources
	SDC_CRR_000	12	Failure to Deliver corporate Priorities
	SDC_CRR_004	12	Organisational Capacity
	SDC_CRR_008	12	Economic Environment
	SDC_CRR_014	12	Systems and Technology
	SDC_CRR_002	10	Health and Safety Compliance
	SDC_CRR_017	9	Managing Partnerships
	SDC_CRR_006	8	Managing Customer Expectations
	SDC_CRR_007	8	Fraud & Corruption
	SDC_CRR_001	3	Failure in Corporate Governance Arrangements
	SDC_CRR_013	2	Information Governance / Data Protection


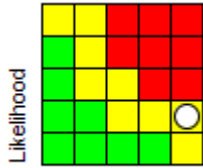
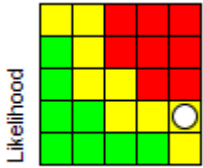
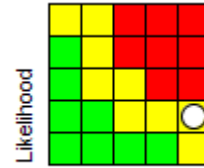
Status	Risk Score	Risk Title	Description	Risk Owner
	16	Financial Resources	The Council's financial position is not sustainable beyond 2021.	Chief Finance Officer (S151 Officer) Karen Iveson
Causes		<ul style="list-style-type: none"> • Poor financial planning • Funding cuts/ Investment Strategy • Poor spending • Poor decisions • Partnership contract (goes awry) • Fair Funding Review (demonstrate why costs) • Over commitment (i.e. Northamptonshire) • Economic - high inflation/increased demand • Loss of control in service delivery • Political environment changes 	Consequences	<ul style="list-style-type: none"> • Unable to deliver its Corporate Plan ambitions and statutory functions • Unable to meet financial commitments (long/medium/short term) • Unable to set a balanced budget as required by legislation. • Central Government intervention. • Forced to make unplanned service reductions which impact on residents and businesses. • Significant reputational and political damage
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Long term financial strategies (GF & HRA) setting out high level resources and commitments. • 3 year budget underpinned by reasonable assumptions (inflation, interest rates etc). • Effective in year budget management arrangements in place. • Savings plan approved with supporting delivery plans for each saving. • Programme for Growth resourced with supporting business cases and action plans. Investment decisions supported by robust whole life (at least 5 years) business cases. 		
Risk Assessments				
Original Risk Rating		Target Risk Rating		Current Risk Rating
 <p>Likelihood</p> <p>Impact</p>		 <p>Likelihood</p> <p>Impact</p>		 <p>Likelihood</p> <p>Impact</p>
20		9		16
Notes				Review Date
Updated and reviewed for the revised corporate risk register 2018-20. The risk score has increased – this was discussed and agreed at the risk workshop.				July 2018


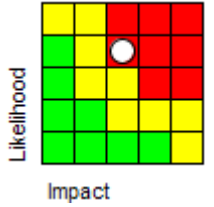
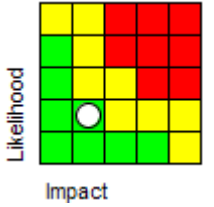
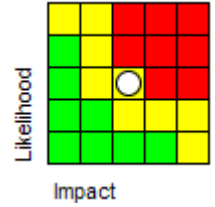
Status	Risk Score	Risk Title	Description	Risk Owner
	12	Failure to Deliver Corporate Priorities	The Council fails to deliver its corporate priorities as set out and approved by Councillors.	Chief Executive Janet Waggott
Causes		<ul style="list-style-type: none"> • Lack of prioritisation • Priorities not reflected in service plans • Windfalls re direct priorities • Political and/or external factors • Capacity/single point of failure • Lack of clarity over corporate priorities 	Consequences	<ul style="list-style-type: none"> • Poor performance - impacting on residents • Poor reputation - residents and partners • Political instability • Staff morale decreased • Missed opportunities for funding • Partnership not fulfilled
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Refreshed Corporate Plan (approved April 2018); • Clear priorities – cascaded via PDRs/1:1s • Shared with wider workforce via Staff Briefings • Corporate Communications Plan being developed – priorities agreed • Delivery via service plans – currently being drafted by Heads of Service in conjunction with employees • Monitoring via Leadership Team as programme board • Executive oversight through quarterly corporate performance monitoring (also subject to quarterly Scrutiny) 		
Risk Assessments				
Original Risk Rating		Target Risk Rating		Current Risk Rating
 <p>Likelihood</p> <p>Impact</p> <p>16</p>		 <p>Likelihood</p> <p>Impact</p> <p>4</p>		 <p>Likelihood</p> <p>Impact</p> <p>12</p>
Notes				Review Date
New risk for 2018-20.				July 2018


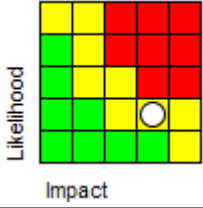
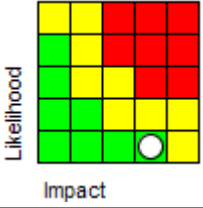
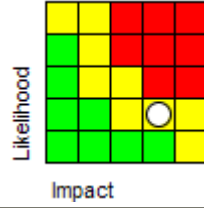
Status	Risk Score	Risk Title	Description	Risk Owner
	12	Organisational Capacity	Lack of organisational capacity and resilience to effectively deliver agreed outcomes and objectives for now and for the future.	Director of Corporate Services and Commissioning Julie Slatter
Causes		<ul style="list-style-type: none"> • Loss of staff • Pay scales • Skills • Wrong structure • Succession planning • Motivation • Culture • Poor leadership • Ineffective management • Failure to prioritise 	Consequences	<ul style="list-style-type: none"> • Increased cost of delivery • High churn • Slowing pace • Loss of talent • Poor delivery of priorities • Impact on reputation • Political frustrations • Failure to deliver outcomes • Low resident satisfaction • Loss of confidence from partners and businesses • Staff stress and dissatisfaction • Poor services
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Organisational review resulting in the right people in the right posts doing the right things, doing them well and funded on a sustainable footing. • Working with partners to lever capacity and expertise – e.g. Better Together. • Utilising Programme for Growth to secure short/medium term capacity to deliver Council priorities – e.g. Economic Development function. • Peer Challenge; Staff Survey; IIP Assessment all identified improvement and building blocks in place – but needs a strategic approach to addressing challenges • Spec for OD Strategy being developed • Concerns expressed in IIP assessment re: HR/OD capacity to deliver – to be addressed 		
Risk Assessments				
Original Risk Rating		Target Risk Rating		Current Risk Rating
 <p>Likelihood</p> <p>Impact</p>		 <p>Likelihood</p> <p>Impact</p>		 <p>Likelihood</p> <p>Impact</p>
16		8		12
Notes				Review Date
Updated and reviewed for the revised corporate risk register 2018-20. Risk score increased from previous register.				July 2018


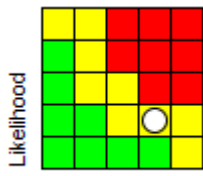
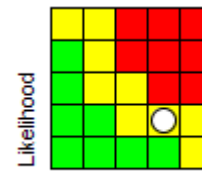
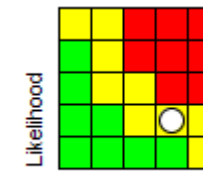
Status	Risk Score	Risk Title	Description	Risk Owner
	12	Economic Environment	Poor net economic growth.	Director of Economic Regeneration and Place Dave Caulfield
Causes		<ul style="list-style-type: none"> Negative impact of Brexit transition Potential of Strategic Development sites not realised Labour shortages Skills shortages Delays to Infrastructure development/spending 	Consequences	<ul style="list-style-type: none"> Potential negative impact on income. Increased demand for services. Increased demand for interventions to stimulate economic growth. Loss of jobs/increased unemployment Risk to returns on investment property
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> Economic Development and Infrastructure service in place Proactive engagement with LEPs to influence economic growth programmes. Engagement with key businesses to understand future challenges and opportunities to identify where the Council can provide additional support. Direct support for Strategic Development sites with coordination local and regional services Engagement with key businesses to understand future challenges and opportunities to identify where the Council can provide additional support. Engagement with key partners to influence investment programmes and decisions. Long term strategic planning to address demands 		
Risk Assessments				
Original Risk Rating		Target Risk Rating		Current Risk Rating
				
12		4		12
Notes				Review Date
Updated and reviewed for the revised corporate risk register 2018-20. Target Risk score decreased from previous register.				July 2018


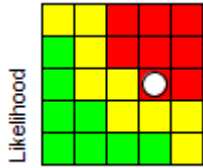
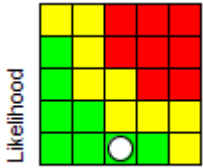
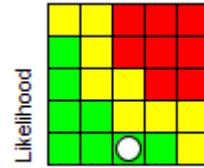
Status	Risk Score	Risk Title	Description	Risk Owner
	12	Systems and Technology	Lack of investment in the right technology and systems.	Director of Corporate Services and Commissioning Julie Slatter
Causes		<ul style="list-style-type: none"> • Failure to invest /keep up to date • Lack of knowledge to specify what we need • Fraud - internal theft of data or sabotage of system/data • Lack of training • Poor implementation • Policies not up to date • Not utilising fully 	Consequences	<ul style="list-style-type: none"> • System fails - cannot deliver (or less than optimal) • Fraud or financial impact • ICO action/fine • Wasted money/resources • Loss of critical data • Reputational damage and/or un-defendable claims
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Digital Strategy and Implementation Plan drafted – expected to be approved by Executive July 2019. Focus on: • Digital customers – channel shift/self service and meeting changing expectations • Digital workforce – using technology to transform how • Digital foundations – maintaining modern, secure systems and infrastructure and strengthening governance and resilience • Strategy will ensure IT investment is aligned to business needs and requirements. • Programme supported by clear business cases and benefit realisation reports. • Continue to maximise opportunities for partnership working – e.g. through Better Together - which will deliver on shared ICT resources. 		
Risk Assessments				
Original Risk Rating		Target Risk Rating		Current Risk Rating
 <p style="text-align: center;">12</p>		 <p style="text-align: center;">4</p>		 <p style="text-align: center;">12</p>
Notes				Review Date
Updated and reviewed for the revised corporate risk register 2018-20. This risk now includes systems as well as technology. The risk score has increased from previous register.				July 2018


Status	Risk Score	Risk Title	Description	Risk Owner
	10	Health and Safety Compliance	Failure to comply with Health and safety legislation.	Director of Corporate Services and Commissioning Julie Slatter
Causes		<ul style="list-style-type: none"> • Incident involving a member of staff, visitor or member of the public. • Incident involving council property or on council owned land. • HSE or third-party investigation. • Non-compliance with Health and Safety legislation. 	Consequences	<ul style="list-style-type: none"> • Actual or potential injury or loss of life. • Environmental degradation. • Financial loss / impact on value of assets. • Reputational damage.
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Health and Safety Policy and Plan for 2017/18 has been reviewed and is in place led by SDC experts with NYCC providing expertise to provide advice to Managers and ensure Health and Safety procedures are rigorous. • Health and safety due diligence assessment on service areas and contractors. • Public liability and property insurance. • Risk management system in place to manage equipment, contractors, property and environmental and health and safety risks. • Health and safety performance monitoring of Delivery Partners to ensure HS&E compliance. • Risk assessing, and then managing accordingly, every property and asset. • Statutory checks to ensure regulatory HS&E Compliance. • Event Safety Plan for all events managed by external consultants. 		
Risk Assessments				
Original Risk Rating		Target Risk Rating		Current Risk Rating
 <p>10</p>		 <p>10</p>		 <p>10</p>
Notes				Review Date
Updated and reviewed for the revised corporate risk register 2018-20. Health and Safety Compliance was on the previous risk register. Scores remain unchanged.				July 2018

Status	Risk Score	Risk Title	Description	Risk Owner
	9	Managing Partnerships	Inability to influence strategic partnerships (e.g. health/ LEP/NYCC etc).	Director of Economic Regeneration and Place Dave Caulfield
Causes		<ul style="list-style-type: none"> • Poor relationship management • Political buy in • Performance Management • Clarity of Purpose • Commissioning/contract management • Lack of Shared objectives • Due Diligence • Partnership governance 	Consequences	<ul style="list-style-type: none"> • Service Failure - quality of delivery • Reputational • Loss of Service • Impact on customers/residents from lack of partnership resources • Conflicting priorities • Unable to gain additional resource/staff/funding • Capacity - ventures • Overspending • Legal challenge and costs • Conflicting governance • Liability of additional cost/spend.
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Targeted work with key developers and investors. • Close working with the LEP's to identify potential investment opportunities. • Close involvement in shaping the asks within any Devolution deal. • Re-structure to increase capacity in economic development, regeneration and partnerships. 		
Risk Assessments				
Original Risk Rating		Target Risk Rating		Current Risk Rating
				
12		4		9
Notes				Review Date
Updated and reviewed for the revised corporate risk register 2018-20. This risk takes a fresh look at the partnership risk – discussed at risk workshop.				July 2018

Status	Risk Score	Risk Title	Description	Risk Owner
	8	Managing Customer Expectations	Inability to meet customers' demand for services.	Chief Executive Janet Waggott
Causes		<ul style="list-style-type: none"> • Lack of clear standards/standards not being met • Staff not demonstrating core values/behaviours • Poorly trained staff/ineffective learning • Staff not empowered to take decisions • Ineffective front/back office processes • Lack of resources/resources not aligned to priorities • Poor services 	Consequences	<ul style="list-style-type: none"> • Poor customer satisfaction. • Quality and timeliness of service suffers. • Sustainability of service. • Increased customer complaints. • Impact on Elected Members.
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Increase community delivery. • Channel shift to self-service. • Re-design services using quality data. • Develop structured multi-agency partnerships. • Right first time services to remove avoidable work. 		
Risk Assessments				
Original Risk Rating		Target Risk Rating		Current Risk Rating
 <p>8</p>		 <p>4</p>		 <p>8</p>
Notes				Review Date
Updated and reviewed for the revised corporate risk register 2018-20. Risk was refreshed at the risk workshop.				July 2018

Status	Risk Score	Risk Title	Description	Risk Owner
	8	Fraud & Corruption	Incident of fraud and / or corruption occurs within the Council.	Chief Finance Officer (S151 Officer) Karen Iveson
Causes		<ul style="list-style-type: none"> • Low staff morale • Debt (Individual) • Lack of vigilance by staff • System weakness - unknown • Failure to report changes • Incorrect information 	Consequences	<ul style="list-style-type: none"> • Financial and reputational loss. • Potentially more fraud (gaps not closed)
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Counter fraud arrangements reviewed through annual self-assessment. • Counter Fraud and Corruption Strategy and Policy to be reviewed regularly. 		
Risk Assessments				
Original Risk Rating		Target Risk Rating		Current Risk Rating
 <p>Likelihood</p> <p>Impact</p>		 <p>Likelihood</p> <p>Impact</p>		 <p>Likelihood</p> <p>Impact</p>
8		8		8
Notes				Review Date
Updated and reviewed for the revised corporate risk register 2018-20. Fraud and Corruption was on the previous risk register. Scores remain unchanged.				July 2018

Status	Risk Score	Risk Title	Description	Risk Owner
	3	Failure in Corporate Governance Arrangements	The Council's governance and transparency of decision making is not effective and does not align with the Council's required flexibility to adapt.	Solicitor to the Council Gillian Marshall
Causes		The changing agenda and drive towards commercialisation requires the council to be 'fleet of foot' which may impact the ability to be accountable and transparent and legally compliant.	Consequences	<ul style="list-style-type: none"> • Councillors and managers may make decisions outside their accountability. • The Council will be vulnerable to legal challenges and ombudsman complaints with attendant costs, consequences and reputational damage. • Budgets may be overspent and outcomes may not improve.
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Constitution reviewed and updated in 2015 including rules on decision making, access to information rules, contract procedure rules and financial procedure rules. • Governance training programme underway for new management team 		
Risk Assessments				
Original Risk Rating		Target Risk Rating		Current Risk Rating
 Likelihood Impact		 Likelihood Impact		 Likelihood Impact
12		3		3
Notes				Review Date
Updated and reviewed for the revised corporate risk register 2018-20. Risk has been revised to the current landscape of the council – risk scores have been updated accordingly.				July 2018

Status	Risk Score	Risk Title	Description	Risk Owner
	2	Information Governance/Data Protection	Non-compliance with the Freedom of Information and General Data Protection Regulation acts.	Solicitor to the Council Gillian Marshall
Causes		<ul style="list-style-type: none"> Retaining information "just because" it might useful, way past its retention date. Don't inform someone that we are processing their data. If we collect data for a specific purpose and we are unable to fulfil that purpose. Asking for more information that necessary on our forms Incorrect use of email distribution lists (identifying all recipients) We don't notify the correct authorities of a data breach. We don't respond to people under their data protection rights. 	Consequences	<ul style="list-style-type: none"> Loss or inappropriate use of personal data and information. Damaged reputation. Financial penalty.
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> Information governance action plan delivered to agreed timescales, including - policies and systems in place; training provided to officers and members. Breaches recorded, monitored and followed up. 		

Risk Assessments			
Original Risk Rating	Target Risk Rating	Current Risk Rating	
<p>6</p>	<p>2</p>	<p>2</p>	
Notes			Review Date
Updated and reviewed for the revised corporate risk register 2018-20. Risk score has decreased since last risk register.			July 2018