


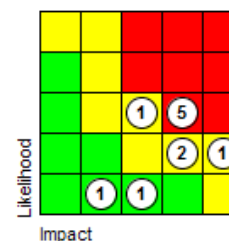


Selby District Council Corporate Risk Register 2018-2020









Overview: January 2019


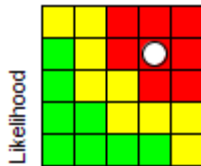
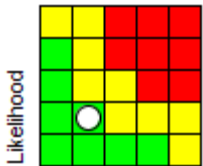
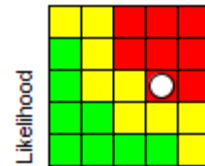


Risk Status	
	High Risk
	Medium Risk
	Low Risk


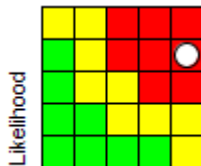
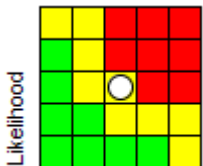
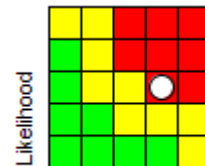


Status	Code	Previous Risk Score (July 2018)	Current Risk Score	Trend	Title
	SDC_CRR_000	12	12		Failure to deliver corporate priorities
	SDC_CRR_003	16	12		Financial Resources
	SDC_CRR_004	12	12		Organisational Capacity
	SDC_CRR_008	12	12		Economic Environment
	SDC_CRR_014	12	12		Systems and Technology
	SDC_CRR_002	10	10		Health and Safety Compliance
	SDC_CRR_017	9	9		Managing Partnerships

Status	Code	Previous Risk Score (July 2018)	Current Risk Score	Trend	Title
	SDC_CRR_006	8	8		Managing Customer Expectations
	SDC_CRR_007	8	8		Fraud & Corruption
	SDC_CRR_001	3	3		Failure in corporate governance arrangements
	SDC_CRR_013	2	2		Information Governance/Data Protection


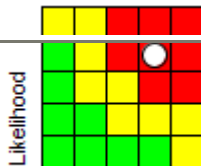
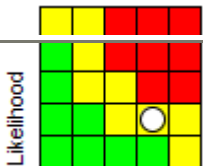
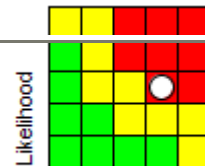
Status	Risk Score	Risk Title	Description		Risk Owner
	12	Failure to deliver corporate priorities	The Council fails to deliver its corporate priorities as set out and approved by Councillors.		Chief Executive Janet Waggott
Causes		<ul style="list-style-type: none">• Lack of prioritisation• Priorities 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 Comms 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	
					
16		4		12	
Notes					Review Date
Progress being made on many key priorities in 2018/19. Officers working closely with portfolio holders to progress areas with greatest challenges such as economic growth (Exec to consider progress/proposals for next steps in Jan 2019)					December 2018

Executive monitoring corporate performance quarterly - some concerns, e.g. voids, identified and subject to improvement	
Corporate projects identified - focusing on key priorities - agreed and monthly monitoring in place at LT	
All service plans in place and being monitored via Pentana	
New performance management framework agreed by LT - training on PMF and Pentana being rolled out	
Corporate plan/priorities scheduled for review in 2019 - supported by residents survey	


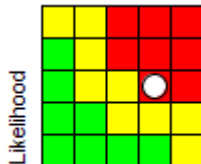
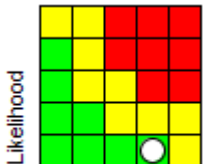
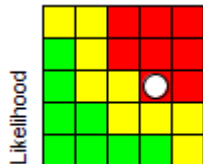
Status	Risk Score	Risk Title	Description		Risk Owner
	12	Financial Resources	The Council's financial position is not sustainable beyond 2021.		Chief Finance Officer (S151 Officer) Karen Iveson
Causes		<ul style="list-style-type: none">• Poor financial planning• Funding cuts/ Investment Strategy• Poor 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 change.	
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 and owned by Council members.• 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	
					
20		9		12	
Notes					Review Date


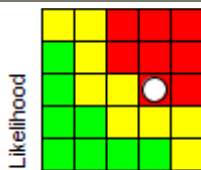
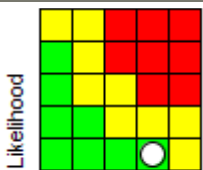
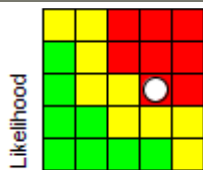
Financial uncertainty remains pending the reform of local government funding and the reset of the current business rate retention system from 2020/21. The Council's draft medium term financial plan to 2021/22 shows an annual savings requirement of circa £2m. A risk assessed savings plan is in place with savings front loaded. However, delivery plans in key areas of transformation are still to be implemented and whilst Selby is at 'safety net', income from business rates growth remains high risk.

December 2018


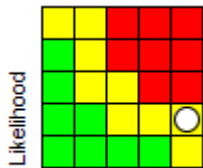
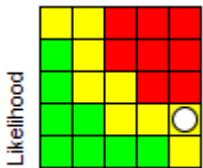
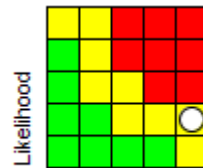
Status	Risk Score	Risk Title	Description		Risk Owner
	12	Organisational Capacity	Lack of organisational capacity and resilience to effectively deliver agreed outcomes and objectives for now and for the future.		Director of Corporate Services and Commissioning Julie Slatter
Causes		<ul style="list-style-type: 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	
					


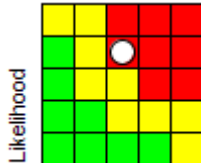
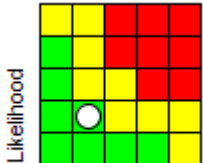
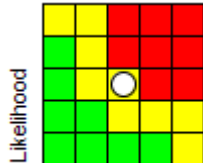
16	8	12
Notes		Review Date
Recruitment pressures in a number of areas for example, assets and vacancies in key roles in EDF mean that delivery on key projects and service delivery in housing could be significantly impacted. Risk of high agency spend to cover vacant posts in assets and also in EDF.		December 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.	
Controls or Mitigating Actions in Place		<ul style="list-style-type: none">• 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.• Engagement with key partners to influence investment programmes and decisions.			
Risk Assessments					
Original Risk Rating		Target Risk Rating		Current Risk Rating	
 <p>Likelihood</p> <p>Impact</p> <p>12</p>		 <p>Likelihood</p> <p>Impact</p> <p>4</p>		 <p>Likelihood</p> <p>Impact</p> <p>12</p>	
Notes					Review Date
Current uncertainty regarding Brexit and national politics poses a major risk to UK economic conditions and these are beyond the Council's control. However, the Council is highly active in supporting the local economy through the priorities in its Economic Development Framework. Moving forward, a more focused approach is proposed through a 2 year Delivery Plan to regenerate and improve the towns alongside delivering the strategic sites. The strong relationship established with businesses in the District means the Council is aware of and can react quickly to local issues.					December 2018


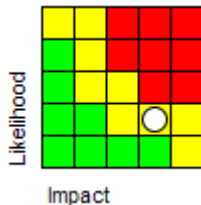
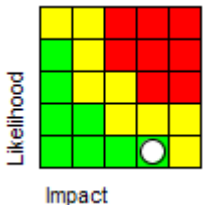
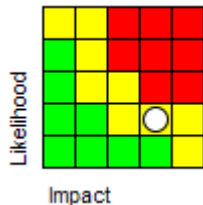
Status	Risk Score	Risk Title	Description		Risk Owner
	12	Systems and Technology	Lack of investment in the right technology and systems.		Director of Corporate Services and Commissioning Julie Slatter
Causes	<ul style="list-style-type: none">• Failure to invest /keep up to date• Lack of knowledge to specify 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 undefendable 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	
					
12		4		12	
Notes					Review Date
Continue to be PSN compliant.					December 2018

However, LGA Cyber Security Stocktake identified a number of areas for improvement - including governance and training - action plan agreed and being worked through with LGA, NYCC and other NY districts	
LT has agreed proposals to update DR arrangements - including remote access, firewalls and back up - to be delivered in Q4	
Delivery of Digital Strategy continues - Q4 focus on channel shift, Microsoft 365, housing system, DR, PSN health check	

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 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	
					
10		10		10	
Notes					Review Date
No update on the risk score, Employees continue to be consulted on Health and Safety matter through the forum and a new formal H&S Committee is also to be established.					December 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	
 <p>Likelihood</p> <p>Impact</p>		 <p>Likelihood</p> <p>Impact</p>		 <p>Likelihood</p> <p>Impact</p>	
12		4		9	
Notes					Review Date

No update this period.	
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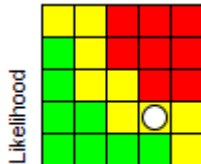
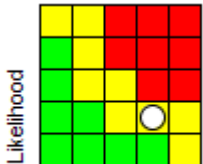
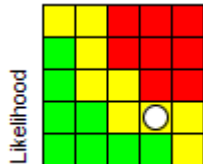
Status	Risk Score	Risk Title	Description		Risk Owner
	8	Managing Customer Expectations	Inability to meet customers' demand for services.		Chief Executive Janet Waggott
Causes	<ul style="list-style-type: none">• Lack of clear standards/standards not being met• Staff not demonstrating core values/behaviours• 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	
					
8		4		8	
Notes					Review Date
Customer Service Standards launched. Updated Customer Strategy being drafted for 2019 .					December 2018


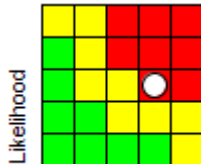

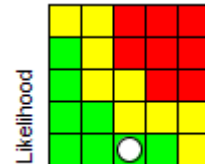
Proposals for moving Contact Centre are in the process of being considered.	
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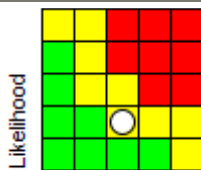
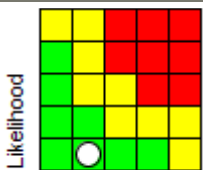
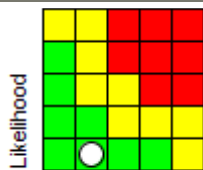
Digital Customers Programme Board in place to ensure coordinated approach to channel shift, customer strategy, contact centre changes etc	
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Resident Survey planned for early 2019	
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Work in train to improve website with NYCC	
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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	
					
8		8		8	
Notes					Review Date
Arrangements for the detection and prevention of fraud are in place but there is pressure on current resources. Workloads are being monitored and contingencies are available should additional support be required.					December 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 TBC
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 delivered to management team			
Risk Assessments					
Original Risk Rating		Target Risk Rating		Current Risk Rating	
 <p>12</p>		 <p>3</p>		 <p>3</p>	
Notes					Review Date
3 governance framework training sessions provided to staff in 18/19 - records with HR Governance audit against CIPFA Framework completed 18/19 Completion of annual review of constitution is on track for approval March 19					December 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 TBC
Causes	<ul style="list-style-type: none">• Retaining information “just because” it might be 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>Likelihood</p> <p>Impact</p> <p>6</p>		 <p>Likelihood</p> <p>Impact</p> <p>2</p>		 <p>Likelihood</p> <p>Impact</p> <p>2</p>	
Notes					Review Date
Significant work done on IG during 18/19 to prepare for and embed GDPR					December 2018

Veritau appointed as DPO	
GDPR action plan in place and monitored	