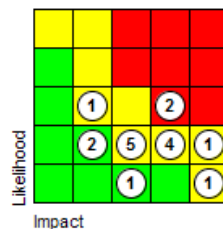


Selby District Council Corporate Risk Register 2017 - 2018























Overview: November 2017 Update





Risk Status	
	High
	Medium
	Low

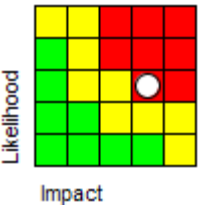
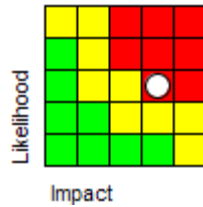
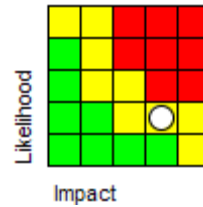


Status	Code	Previous Risk Score (June 2017)	Current Risk Score	Trend	Title
	SDC_CRR_003	12	12		Financial Risk
	SDC_CRR_008	12	12		Economy
	SDC_CRR_002	10	10		Health and Safety
	SDC_CRR_006	8	8		Managing Customer Expectations
	SDC_CRR_007	8	8		Fraud & Corruption

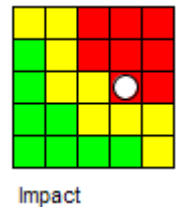
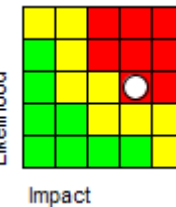
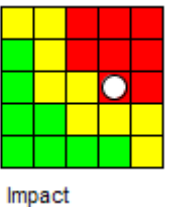
Status	Code	Previous Risk Score (June 2017)	Current Risk Score	Trend	Title
	SDC_CRR_010	8	8		Partnership Outcomes
	SDC_CRR_014	8	8		Technology
	SDC_CRR_004	9	6		Organisational Capacity
	SDC_CRR_005	9	6		Performance
	SDC_CRR_009	6	6		Business Continuity
	SDC_CRR_013	6	6		Information Governance/Data Protection
	SDC_CRR_015	6	6		Assets
	SDC_CRR_017	12	6		Strategic Partnerships
	SDC_CRR_016	5	5		Failure to adequately respond to Civil Emergencies
	SDC_CRR_011	4	4		Communications
	SDC_CRR_012	4	4		Policy Change

Status	Code	Previous Risk Score (June 2017)	Current Risk Score	Trend	Title
	SDC_CRR_001	8	3		Governance

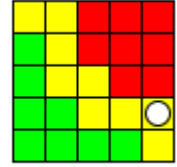
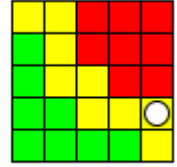
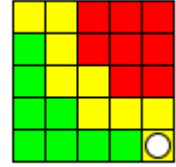
Risk Score 12
Risk Code & Title SDC_CRR_003 Financial Risk

Risk Description	Previous Rating May 2017	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
<p>The Council's financial position is not sustainable.</p>		<p>The Council is unable to deliver its corporate plan.</p> <p>The Council is unable to meet its financial commitments (long/medium/short term).</p> <p>Unplanned service cuts.</p>			<p>Karen Iveson</p>	<p>Long term financial strategies (GF & HRA) setting out high level resources and commitments.</p> <p>3 year budget underpinned by reasonable assumptions (inflation, interest rates etc).</p> <p>Effective in year budget management arrangements in place.</p> <p>Savings plan approved with supporting delivery plans for each saving.</p> <p>Programme for Growth resourced with supporting business cases and action plans. Investment decisions supported by robust whole life (at least 5 years) business cases.</p>	<p>A refreshed MTFS was approved by Council in September 2017.</p> <p>The draft budget report has been prepared taking account of rising cost pressures (such as pay and price inflation and demand led cost rises in street scene contract) and mitigating savings (largely salary vacancy factor and new insurance contract). Overall the General Fund savings requirement is expected to increase by £450k by 2020/21 - taking our 2017/18 to 2020/21 savings target to £2.2m. The HRA is on track.</p> <p>In year budget management at Quarter2 shows relatively modest underspends are forecast for 2017/18 which will help to offset future cost pressures.</p> <p>The approved savings plan is broadly on track. Some slippage is expected but the in-year underspends will mitigate this.</p> <p>Progress against the Programme for Growth has been reported to Executive and further work to review the programme is underway.</p>

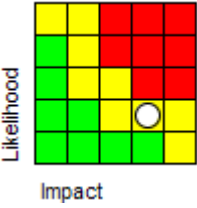
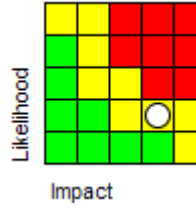
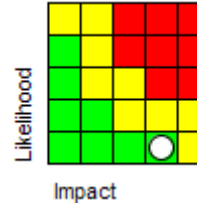
Risk Score 12
Risk Code & Title SDC_CRR_008 Economy

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
<p>Poor net economic growth.</p>		<p>Potential negative impact on income.</p> <p>Increased demand for services.</p> <p>Increased demand for interventions to stimulate economic growth.</p>			<p>James Cokeham</p>	<p>Proactive engagement with LEPs to influence economic growth programmes.</p> <p>Engagement with key businesses to understand future challenges and opportunities to identify where the Council can provide additional support.</p> <p>Engagement with key partners to influence investment programmes and decisions.</p>	<p>Risk level maintained due to current national economic uncertainty linked to ongoing Brexit negotiations, unknown impacts and revised downward growth forecasts in Government's recent Autumn Budget Statement.</p> <p>Lack of ongoing devolution deal(s) for Yorkshire potentially putting regional access to future government funding at risk.</p> <p>Locally, significant progress has been made to proactively engage with the local business community, and bring forward a range of new employment sites that will provide significant commercial development opportunities. This will increase the District's economic resilience by providing new job opportunities for local residents and diversifying our sector profile.</p>

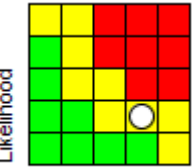
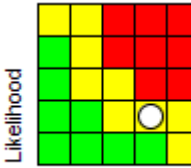
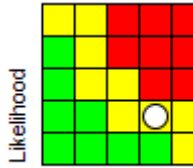
Risk Score 10
Risk Code & Title SDC_CRR_002 Health and Safety

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
<p>Failure to comply with Health and safety legislation.</p>	 <p>Likelihood</p> <p>Impact</p>	<p>Actual or potential injury or loss of life.</p> <p>Environmental degradation.</p> <p>Financial loss / impact on value of assets.</p> <p>Reputational damage.</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	<p>June Rothwell</p>	<p>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.</p> <p>Health and safety due diligence assessment on service areas and contractors.</p> <p>Public liability and property insurance.</p> <p>Risk management system in place to manage equipment, contractors, property and environmental and health and safety risks.</p> <p>Health and safety performance monitoring of Delivery Partners to ensure HS&E compliance.</p> <p>Risk assessing, and then managing accordingly, every property and asset.</p> <p>Statutory checks to ensure regulatory HS&E Compliance.</p> <p>Event Safety Plan for all events managed by external consultants.</p>	<p>Annual work plan in place and reviewed on a regular basis supports the view that existing controls are mitigating the risk to maintain the existing score with a proactive approach to managing health and safety in the workplace.</p>

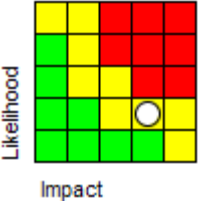
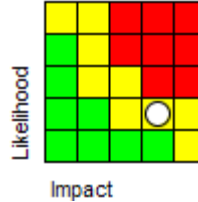
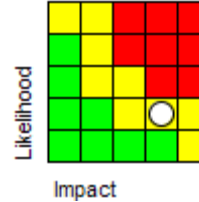
Risk Score 8
Risk Code & Title SDC_CRR_006 Managing Customer Expectations

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
<p>Inability to meet customers' demand for services.</p>	 <p>Likelihood</p> <p>Impact</p>	<p>Poor customer satisfaction.</p> <p>Quality and timeliness of service suffers.</p> <p>Sustainability of service.</p> <p>Increased customer complaints.</p> <p>Impact on Elected Members.</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	<p>Keith Cadman</p>	<p>Increase community delivery.</p> <p>Channel shift to self-service.</p> <p>Re-design services using quality data.</p> <p>Develop structured multi-agency partnerships.</p> <p>Right first time services to remove avoidable work.</p>	<p>Risk score remains the same. Customer facing services are managed to ensure customer expectations are met.</p>

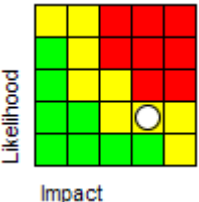
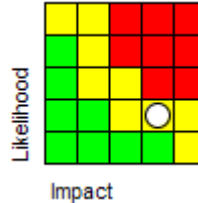
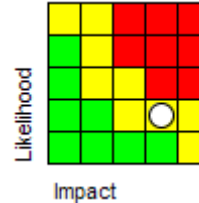
Risk Score 8
Risk Code & Title SDC_CRR_007 Fraud & Corruption

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
Incident of fraud and/or corruption occurs within the Council.	 <p>Likelihood</p> <p>Impact</p>	Financial and reputational loss.	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Karen Iveson	Counter fraud arrangements reviewed through annual self-assessment. Counter Fraud and Corruption Strategy and Policy to be reviewed in 2016/17.	Although counter fraud activity is higher than anticipated additional resources have been committed and this risk rating remains unchanged.

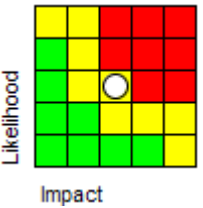
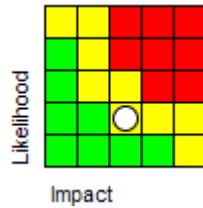
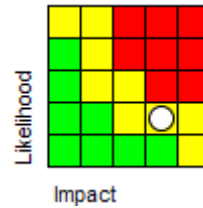
Risk Score 8
Risk Code & Title SDC_CRR_010 Partnership Outcomes

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
<p>Service delivery partnerships do not deliver outcomes to support the Council's strategic objectives.</p>		<p>Service performance falls short of expectations.</p> <p>Resources wasted due to requirement of additional management input.</p> <p>Strategic drift.</p>			<p>Keith Cadman</p>	<p>Identify all key partnerships.</p> <p>Clear objectives and outcomes specified and agreed for all key partnerships.</p> <p>Delivery plans in place and monitored.</p> <p>Remedial action taken promptly if there are signs of under performance.</p> <p>Arrangements reviewed at appropriate intervals to ensure partnerships continue to support the Council's strategic objectives.</p>	<p>Risk score remains the same. Partnerships are managed and where necessary supported.</p>

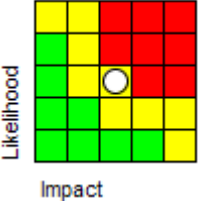
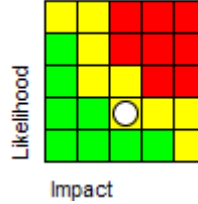
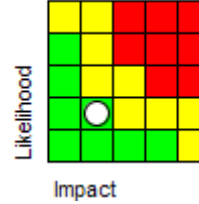
Risk Score 8
Risk Code & Title SDC_CRR_014 Technology

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
<p>ICT not fit for purpose.</p>	 <p>Likelihood</p> <p>Impact</p>	<p>Missed opportunities for driving the business forward.</p> <p>Missed opportunities for efficiencies and innovation.</p> <p>Value from investment not maximised.</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	<p>Stuart Robinson</p>	<p>ICT Strategy is fit for purpose (including move to self-service) - allowing appropriate investment and prioritisation of business needs.</p> <p>Align IT investment to business needs and requirements.</p> <p>Clear business cases and benefit realisation reports drive ICT investment.</p> <p>Seizing opportunities for partnership working which will deliver on shared ICT resources.</p> <p>ICT functionality maximised and organisational skills developed.</p>	<p>Project underway November 2017 to develop detailed roadmap to deliver draft Digital Strategy</p> <p>Additional online capability added in October/November to support customers to access Taxation & Benefits services digitally.</p> <p>Public Services Network compliance certificate in place.</p> <p>Implementation underway for new Housing Management System which will provide much greater resilience, ability for customers to self serve on line and provide better management information to support service improvement.</p> <p>ICT DR Plan in place. Where risks have been identified in our DR capacity - actions have been identified to address these.</p> <p>Wifi improved in Civic Centre</p> <p>Much more still to do around customer self service and giving staff the tools to work more flexibly</p>

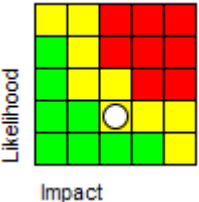
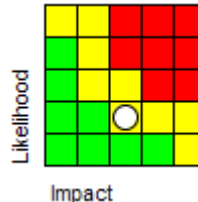
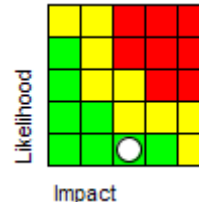
Risk Score 6
Risk Code & Title SDC_CRR_004 Organisational Capacity

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
<p>Lack of organisational capacity and resilience to deliver Corporate Plan objectives.</p>		<p>Detrimental impact on performance and delivery of Corporate objectives.</p> <p>Missed opportunities.</p> <p>Detrimental impact on the reputation of the Council.</p> <p>Poor staff morale.</p> <p>Detrimental impact on retention and recruitment.</p>			<p>Stuart Robinson</p>	<p>Organisational review resulting in the right people in the right posts doing the right things, doing them well and funded on a sustainable footing.</p> <p>Work with partners to lever capacity and expertise.</p> <p>Utilise Programme for Growth to secure short/medium term capacity to deliver Council priorities.</p> <p>Organisational Development Strategy in place and aligned to Council priorities.</p> <p>Organisational Development work programme being delivered.</p>	<p>Restructuring now complete and significant recruitment has taken place in the first six months of 2017/18</p> <p>Some gaps remain - for example where recruitment has proved difficult - but those challenges are being managed.</p> <p>Development of Organisational & Workforce Development Strategy delayed until early 2018/19. To be informed by:</p> <ul style="list-style-type: none"> • Investors in People (IIP) assessment scheduled for March/April 2018. • IIP Staff Survey undertaken in October 2017. • LGA Peer Challenge undertaken November 2017 <p>Personal Development Reviews re-launched November 2017 - along with processes to support learning and development planning.</p> <p>Monthly staff briefings have taken place since July 2017 to support improved staff engagement.</p>

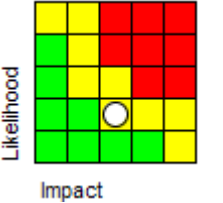
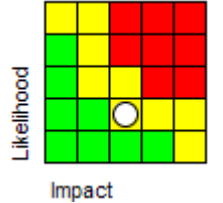
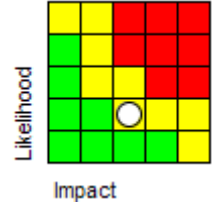
Risk Score 6
Risk Code & Title SDC_CRR_005 Performance

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
<p>Ineffective performance management.</p>	 <p>Likelihood</p> <p>Impact</p>	<p>Council priorities are not delivered.</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	<p>Stuart Robinson</p>	<p>Performance management framework in place, embedded and well understood, including:</p> <ul style="list-style-type: none"> . Corporate plan/agreed corporate priorities . KPIs . Performance reporting . Performance system . Business planning . Appraisals <p>Sufficient resources to support effective implementation.</p>	<p>Service plans now in place for each service - to be reviewed for 2018/19.</p> <p>Corporate Performance Report reviewed and improved for 2017/18. Q2 Performance to be considered by the Executive on 7 December.</p> <p>Annual Report for 2016/17 published in September 2017.</p> <p>LGA Peer Challenge took place in November 2017.</p> <p>Still more to do to monitor performance at a service level and to improve business intelligence.</p>

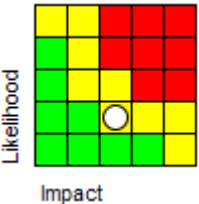
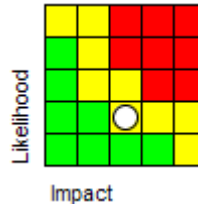
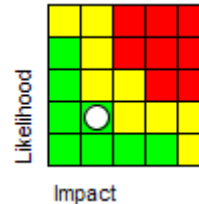
Risk Score 6
Risk Code & Title SDC_CRR_009 Business Continuity

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
<p>Capacity & resilience of our limited resources to maintain service delivery.</p>		<p>Delivery of services not owned by those responsible for leadership and management.</p> <p>Failure to deliver services in exceptional circumstances.</p>			<p>Stuart Robinson</p>	<p>Draft corporate Business Continuity Plan complete.</p> <p>Corporate service prioritisation schedule complete.</p> <p>Business Impact Assessments for all Business Areas.</p> <p>ICT DR Plan in place.</p>	<p>Leadership Team will consider revised Business Continuity Policy in December 2017.</p> <p>Workshops scheduled for January 2018 to facilitate the development of revised Plans.</p>

Risk Score 6
Risk Code & Title SDC_CRR_013 Information Governance/Data Protection

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
Non-compliance with the Freedom of Information and Data Protection acts.		Loss or inappropriate use of personal data and information. Damaged reputation. Financial penalty.			Karen Iveson	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.	Impending changes to legislation require additional systems and processes to be in place. Action planning currently progressing.

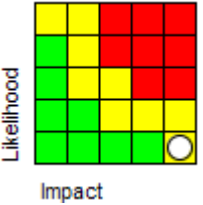
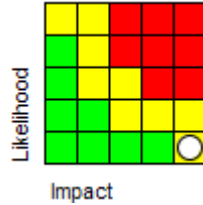
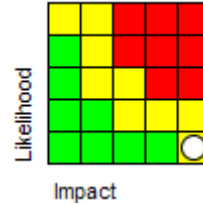
Risk Score 6
Risk Code & Title SDC_CRR_015 Assets

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
<p>Lack of a strategic use of assets.</p>		<p>Assets not used to implement Council's vision.</p>			<p>Dave Caulfield; Julie Slatter</p>	<p>Develop clear Council vision. Align asset management strategy to Council's vision. Joint Strategic Asset review being undertaken with NYCC as part of the Better Together Collaboration.</p>	<p>GIS software is now in place and jointly mapped SDC, NYCC and other public assets. Joint workshop being planned with NYCC to review our approach to strategic assets. Capacity has been increased in the regeneration team to lead this agenda.</p>

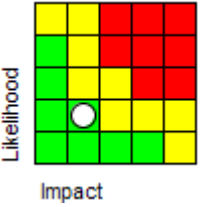
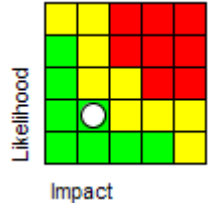
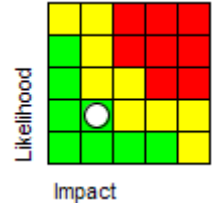
Risk Score 6
Risk Code & Title SDC_CRR_017 Strategic Partnerships

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
Inability to influence strategic partnerships (e.g. health/ LEP/NYCC etc).		<p>Opportunities to lever investment/capacity missed.</p> <p>Value from partnerships not achieved.</p> <p>Selby's profile not raised.</p> <p>Selby's asks not reflected in a devolution deal.</p> <p>Corporate Plan objectives not delivered.</p>			<p>Dave Caulfield</p>	<p>Targeted work with key developers and investors.</p> <p>Close working with the LEP's to identify potential investment opportunities.</p> <p>Close involvement in shaping the asks within any Devolution deal.</p> <p>Re-structure to increase capacity in economic development, regeneration and partnerships.</p>	<p>Appointed to key posts within the team, with responsibility for developing our key partnerships.</p> <p>A number of high profile partnership events recently including Economic Development conference and Major Health workshop.</p>

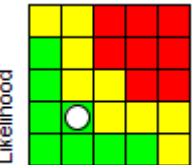

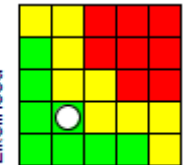
Risk Score 5
Risk Code & Title SDC_CRR_016 Failure to adequately respond to Civil Emergencies.

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
<p>Failure to fulfil statutory duties under civil contingencies legislation.</p>		<p>Failure to fulfil statutory duties under civil contingencies legislation.</p>			<p>June Rothwell</p>	<p>Established partnership with NYLRF - North Yorkshire Local Resilience Forum) & sub regional arrangements.</p> <p>Service Level Agreement in place with North Yorkshire County Council specialist Emergency Planning service.</p> <p>Plans embedded and successfully implemented for a number of civil emergencies and supported by regular review (formal review every 3 years).</p> <p>Training and testing of key elements of the plans is in place.</p> <p>Training and testing of staff response regally reviewed.</p> <p>SDC Command / response protocol structure reviewed quarterly providing a 24 hour, 7 day callout service.</p>	<p>No change to score.</p>

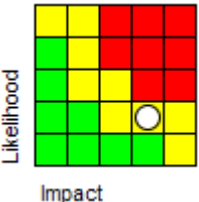
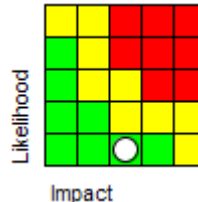
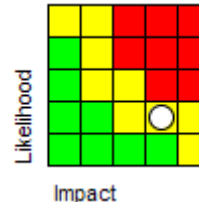
Risk Score 4
Risk Code & Title SDC_CRR_011 Communications

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
<p>Ineffective Communications internally and externally.</p>		<p>Lack of understanding of/buy in to corporate priorities.</p>			<p>Stuart Robinson</p>	<p>Resources in place – with the right skills. Agreed approach. Alignment to corporate priorities and decision making.</p>	<p>Annual Report published September 2017. Recent reductions in social media engagement are being explored and actions developed to address. Support provided to Ryedale DC continues - including rolling out Don't be a Waster in Ryedale. Excellent approach to branding supported the recent Economic Growth Conference - and the Peer Challenge. Team shortlisted for national award.</p>

Risk Score 4
Risk Code & Title SDC_CRR_012 Policy Change

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
<p>Inability to respond to policy change from a national and/or local level.</p>	 <p>Likelihood</p> <p>Impact</p>	<p>Mismatch emerges between statutory obligations and service delivery.</p> <p>Non-compliance with law or national policy.</p> <p>Inability to react quickly to changing local strategy, objectives or priorities.</p> <p>Inability to adequately resource changing local strategy, objectives or priorities.</p> <p>Impact of Brexit not fully understood.</p> <p>Impact on community cohesion.</p> <p>Opportunity of devolution deal not maximised.</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	<p>James Cokeham; Stuart Robinson</p>	<p>Regular horizon scanning reports are considered by Leadership Team and dialogue is maintained with political groups to understand political aspirations and intentions.</p> <p>Corporate Plans are refreshed annually (and/or as the need arises) to enable flexibility to cope with national and local political change.</p>	<p>Arrangements in place and working effectively.</p> <p>Car Park Policy and Equality Objectives recently approved.</p> <p>Leadership Team continue to receive relevant briefings - e.g. recent Budget Briefing.</p> <p>Monthly horizon scanning has been replaced by improved access to Local Government Information Unit (LGIU) policy briefings.</p> <p>Regular staff briefings are now providing opportunities to ensure staff are kept up to date.</p>

Risk Score 3
Risk Code & Title SDC_CRR_001 Governance

Risk Description	Previous Rating (May 2017)	Consequence	Current Risk Rating	Target Risk Rating	Risk Owner	Controls or Mitigating Actions In Place	November 2017 Update
<p>The Council's governance and transparency of decision making is not effective.</p>	 <p>Likelihood</p> <p>Impact</p>	<p>Councillors and managers may make decisions outside their accountability.</p> <p>The Council will be vulnerable to legal challenges and ombudsman complaints with attendant costs, consequences and reputational damage.</p> <p>Budgets may be overspent and outcomes may not improve.</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	<p>Gillian Marshall</p>	<p>Constitution reviewed and updated in 2015 including rules on decision making, access to information rules, contract procedure rules and financial procedure rules.</p> <p>Governance training programme underway for new management team</p>	<p>Risk score lowered as training rolled out and proper sign off processes start to embed.</p>