

RYEDALE DISTRICT COUNCIL: CORPORATE RISK REGISTER

CRR01: Covid - 19	Risk Owner: Stacey Burlet	Risk Score
<p>Description</p> <p>Failure to support and protect lives and livelihoods in Ryedale during the response and recovery stages of the Covid -19 pandemic and to plan and deliver measures to ensure organisational and staffing resilience though the Covid/post-Covid recovery period</p>	<p>Causes</p> <p>Spread of virus cannot fully be controlled / contained</p> <p>Partnership response means that multiple bodies have overlapping accountabilities and responsibilities</p> <p>Legislation means that the district council has additional accountabilities and responsibilities; frequently determined at short notice</p> <p>Fast paced and constantly changing policy environment necessitating the development of immediate procedures</p> <p>Standardised policies and procedures are not be fit for purpose</p> <p>Lack of understanding, buy in and consistency across the Council</p> <p>Inadequate recording</p> <p>Lack of proactive actions</p> <p>Lack of adequate training</p> <p>Subcontractors and commissioned organisations fail / cannot fulfil agreed obligations</p> <p>Lack of / inadequate equipment</p> <p>Poverty, unemployment and economic recession resulting from the impact of Covid - 19</p> <p>Staff fatigue and sickness, resulting in an inability to deliver critical services and deliver required actions</p> <p>Vulnerable residents not being able to access sustained support</p> <p>Voluntary and community sector fatigue and potential funding crisis</p> <p>Failure to secure sufficient Government funding to address key issues and deliver required actions</p> <p>Lack of effective strategic planning to address response and recovery</p> <p>Lack of effective engagement with partner agencies within and beyond Ryedale</p> <p>Lack of access to testing and vaccination</p> <p>Need for sustained activity to avoid multiple lockdown in response to virus surge</p>	<p>Original</p> <p>5E</p>

CRR01: Covid - 19		Risk Owner: Stacey Bulet		Risk Score
Consequences	Proactive Controls	Reactive Controls	Current	
<p>Rate and spread of Covid-19 increases locally</p> <p>Increased deaths</p> <p>Lack of test, trace, vaccination and compliance capacity locally</p> <p>Increased risk of and potential consequences of local lockdown</p> <p>Increased levels of poverty, unemployment, business failure and homelessness across the district</p> <p>Failure to plan for and deliver a strong post-Covid recovery</p> <p>Failure to ensure that vulnerable people are supported through and beyond the Covid emergency</p> <p>Decline in community resilience and physical and mental health of residents</p> <p>Pressures resulting in reduced voluntary and community sector capacity and sustainability</p> <p>Potential for community tensions</p>	<p>Full engagement with district, regional and national partners to support COVID response and recovery, including Government and funding agencies</p> <p>Proactive engagement upon mutual aid issues/biding or additional government funding through regional working groups - including the Yorkshire and Humber Assembly and York and North Yorkshire Local Resilience Forum - SCG, TCG, public health</p> <p>Organisational workstreams with lead officers – Economy; Community; Healthy People, Healthy Council programme. - Each enacts and plans for response and recovery. Progress on actions are monitored and reported.</p> <p>Increased focus on staff welfare, well-being and mental health including personal and workplace based risk assessments; Pulse survey, additional capacity sourced and implemented (e.g. Customer Services Advisors; COVID marshal); access to PPE; weekly staff meetings with the CX; email and intranet based communications; health assured activity.</p>	<p>Additional control measures as identified and put in place as required to ensure COVID secure workplaces, service delivery and to ensure that the district council’s role in protecting lives and livelihoods is fully acquitted in the community e.g. in town centres to support the reopening of the high street</p> <p>Daily scrutiny of data and intelligence to determine any actions required</p> <p>Briefings and communications for Elected Members, Strategic Management Board, and all staff</p> <p>Ongoing participation in district, regional and national working groups, that are coordinating response and recovery</p> <p>Ongoing activity to ensure that strategic plans reflect emerging policy direction Update of Business Continuity Plans to take into account of ongoing Covid/post-Covid demands</p>	3D	

CRR01: Covid - 19	Risk Owner: Stacey Bulet		Risk Score
<p>Failure to deliver key Council services and performance reduction as a consequence of increased demands on Council services from customers and businesses</p> <p>Adverse social and health consequences for staff including increased absence/productivity and decreased well-being and mental health</p> <p>Reputational risks – to the Council and to the wider district resulting in a loss of public confidence</p> <p>Breach of obligations relating to legislation e.g. civil contingency, health and safety, data protection, with the risk of claims, prosecution and financial penalties for the organisation and prosecution and personal liability of senior officers (HSE)</p> <p>Loss of revenue to the council and use of reserves to offset the financial consequences of Covid -19</p>	<p>Additional support for the voluntary and community sector including emergency grants; close coordination with the local Community Support organisation; development and delivery of a comprehensive Ryedale Covid Community Connect partnership support programme and post-Covid recovery plan; and participation in regional and national partnerships to identify and support the district’s most vulnerable residents</p> <p>Finance tracker and MHCLG returns are maintained to assess the financial impact of Covid-19 mitigation. This is complemented by proactive lobbying to ensure that the maximum amount of Government funding is secured and appropriate resources are in place. 2021/22 MTFS includes budgeting to October 2022 via use of Council reserves.</p> <p>Development and delivery of a comprehensive Ryedale post-Covid economic recovery plan</p> <p>Vaccinations and testing access for staff, communities and businesses has been facilitated.</p> <p>Proactive advice and guidance is provided to businesses to support survival and the recovery of key sectors of the economy</p>	<p>Regular performance monitoring, with mitigating actions taken</p> <p>Report on an ongoing basis to central Government on Covid/post EU transition community impacts</p>	

CRR01: Covid - 19	Risk Owner: Stacey Bulet	Risk Score
	<p>Virtual meetings are facilitated in accordance with virus prevalence to mitigate the need for the next predicted surge in Autumn 2021</p>	
Mitigating Actions		Target
<p>Targeted interventions are being undertaken where required by officers</p> <p>Increased staffing capacity in stress / high volume areas - e.g. Customer Service Advisors, Waste Operatives, Environmental Health, Revenues and Benefits</p> <p>Proactive monitoring of staff and community contraction rates</p> <p>COVID - 19 actions are proactively and reactively addressed as required following guidance and, on occasions, instruction for Government and the Director of Public Health, as well from strategic command arrangements that require response from the Local Resilience Forum.</p> <p>Work with businesses, partner agencies, community support organisations and Government to ensure that funding is maximised, support is in place and plans are delivered to support communities through Covid, through the post Covid/post-EU transition periods. This includes community support/recovery initiatives.</p> <p>Continual delivery of effective communications for businesses/Ryedale residents upon the implications of the end of the EU transition period/required actions</p> <p>Increased investment in resources is required to support ongoing good staff mental and physical health and well-being; including continuing to ensure that key messages/information on support for staff is publicised internally</p> <p>Ensure provision of appropriate PPE for staff for specific activities such as facilitating elections and that appropriate home working facilities and support are in place</p>		<p>3C</p>

CRR01: Covid - 19	Risk Owner: Stacey Bulet	Risk Score
<p>Ensure staff resilience/appropriate resourcing in the event of concurrent incidents (eg. winter flooding)</p> <p>Put in place appropriate plans to ensure health and safety in all council premises for staff and visitors, including when office based working at RDC facilities takes place</p>		

CRR02: Health and Safety	Risk Owner: Louise Wood		Risk Score
<p>Description</p> <p>Failure to comply with and embed health and safety policy and procedures in the council</p>	<p>Causes</p> <p>Policies and procedures outdated or not fit-for-purpose</p> <p>Lack of understanding, buy in and consistency across the Council</p> <p>Inadequate recording</p> <p>Lack of proactive actions</p> <p>Weak action planning</p> <p>Lack of support capacity</p> <p>Lack of adequate training</p> <p>Subcontractors and commissioned organisations</p> <p>Lack of /inadequate equipment</p> <p>Public health incidents / pandemics</p>		<p>Original</p> <p style="background-color: red; color: white; text-align: center;">5E</p>
Consequences	Proactive Controls	Reactive Controls	Current
<p>Resulting in injuries, fatalities, claims</p> <p>Reputational damage</p> <p>Impact on service delivery</p> <p>Risk of prosecution and financial penalties for the organisation</p>	<p>Health and safety policy</p> <p>Health and Safety Action Plan</p> <p>Quarterly Corporate Health , Safety and Wellbeing Group</p> <p>Mandatory training (SMB monitored) and service-specific training</p>	<p>Accident reporting procedure</p> <p>Annual health and safety report</p> <p>Daily COVID-secure workplace monitoring</p>	3C

CRR02: Health and Safety		Risk Owner: Louise Wood	Risk Score
<p>Prosecution and personal liability of senior officers and consequences for Leader/Dep Leader</p> <p>Lack of containment of public health emergencies</p>	<p>Covid -19 risk assessment and controls in place with regards to service delivery, employee welfare and democratic meetings</p> <p>Democratic meetings policy and risk-assessments</p>		
Mitigating Actions			Target
<p>All staff required to confirm understanding of policy on annual basis</p> <p>Delivery of action plan monitored on quarterly basis</p> <p>Provision of specialist health and safety advice to provide up-to-date guidance and lead progression on health and safety activity</p> <p>Communications rolled out across staffing and employee groups and on intranet</p> <p>Fortnightly meetings with UNISON and service managers on COVID-secure workplace</p> <p>Targeted intervention programme in place in Waste and Environmental Services using additional capacity</p> <p>Ongoing health and Safety audit of facilities</p> <p>Implementation of COVID guidance/instruction from government, public health and Local Resilience Forum.</p>			2B

CRR03: Staffing Resilience and Capacity		Risk Owner: Haroon Rashid	Risk Score
<p>Description</p> <p>Lack of resilience or capacity to achieve strategic and/or operational objectives</p>	<p>Causes</p> <p>Lack of staffing resource to support delivery against strategic and operational objectives</p> <p>Lack of staff development to support succession planning, retention and successful delivery</p> <p>Inadequate budget to fund an appropriate staffing structure</p> <p>Poor reputation as an employer</p> <p>Failure to recruit, particularly in specialist areas where the market is highly competitive</p> <p>Lack of or inadequate workforce strategy</p>	Original	5D

CRR03: Staffing Resilience and Capacity		Risk Owner: Haroon Rashid		Risk Score
		Covid-19 pandemic Unprecedented circumstances requiring the reallocation of resources to meet urgent, reactive need e.g. COVID outbreak, natural emergency , BREXIT Failure to plan for any staff/organisational impacts from the EU exit		
Consequences Customer and local resident detriment Service failure Special measures if statutory or legislative expectations are unmet Poor customer satisfaction, leading to complaints and requests for compensation Low staff morale Poor productivity among staff Increasing sickness levels Higher staff turnover LGO decisions Damage to reputation Staff wellbeing suffers Legal action Financial penalties Failure to meet legislative requirements, election and electoral register responsibilities Increasing levels of sickness absence as a result of COVID-19 contraction rates Inability to meet increased service demand as a consequence of additional accountabilities and increased service demand brought about by COVID -19	Proactive Controls Refreshed approach to recruitment and resourcing to address current 'gaps' in establishment. Learning Zone access for all employees. Job evaluation process in place. Financial monitoring and reporting - including a new approach to budget strategy development and oversight. Regular CX, SMB, manager & staff communication and engagement sessions taking place to ensure that the pulse of the organisation is taken and responded to. Graduate trainees programme in place. HR/OD service ensures that organisational development and the employee journey is increasingly focused upon. Elections Risk Register. All staff complete mandatory training requirements, with accelerated levels for managers. Shared service arrangements in place to support organisational resilience where this represents best value and ensures that a	Reactive Controls Outsourcing to specialist agencies where there is a need to ensure that statutory, legislative or important service need is met e.g. legal advice, dog breeder accreditation Re-prioritisation of service delivery Turn the service off if practical - this course of action has been taken when extreme staff shortages have occurred (e.g. street sweeping so that bin collections occurred) Overtime – exceptional and by agreement. Service Risk Registers incorporate mitigations for resilience and capacity risks Historical bullying allegations relating to staff and have reported back to members; zero tolerance actions rolled out Additional control measures as identified / required to ensure COVID secure workplaces and service delivery	Current 3C	

CRR03: Staffing Resilience and Capacity	Risk Owner: Haroon Rashid	Risk Score
	<p>focus can be maintained on both short and longer term objectives.</p> <p>Health checks completed in core areas of the business to ensure organisation is fit for purpose (IT, customer service, programmes and projects, strategy and performance, information governance, democratic services, legal services), with increased capacity investment following thereafter People and Culture Plan developed and rolled out with ongoing review of effectiveness.</p> <p>Organisational Development programme initiated with manager & staff involvement as appropriate.</p> <p>New collective agreement and revised pay, terms and conditions package implemented for Grade 10 and below directly employed by the organisation.</p> <p>Senior management appraisal process rolled out.</p> <p>Delivery of HR/OD actions in the corporate delivery programme of the Council Plan.</p> <p>Council Plan and corporate programme in place to determine strategic objectives and the delivery plan for achieving them</p> <p>New partnership arrangement in place for Procurement support.</p> <p>Adoption of new policies and procedures such as zero tolerance</p>	

CRR03: Staffing Resilience and Capacity	Risk Owner: Haroon Rashid	Risk Score
	<p>Budget strategy development, financial monitoring and reporting includes a strong focus on workforce related issues</p> <p>Covid 19 procedures and arrangements</p>	
<p>Mitigating Actions</p> <p>Appraisal process Grades 10 and below has been refreshed and revised to ensure that there is a focus on issues such as performance against strategic and operational goals and a training, learning and development plan linked to professional and personal goals. This will be rolled out from October 2020 onwards.</p> <p>Training Needs analysis completed; new training and development programme in place for employees and so that managers support and fulfil their responsibilities to employees.</p> <p>Review of commissioned and third party arrangements and obligations.</p> <p>New partnership arrangement in place for Legal support.</p> <p>Rolling programme of review of policies and procedures underway to ensure they are fit for purpose.</p> <p>Undertake review of Senior Manager structure to determine an appropriate operating model to drive forward quality and standards.</p>		<p>Target</p> <p>2B</p>

CRR04: Strategic Planning and Leadership	Risk Owner: Stacey Bulet	Risk Score
<p>Description</p> <p>Failure to establish, review or deliver against strategic / corporate priorities so that the long-term aspirations and ambitions of Ryedale are achieved, resulting in sub-optimal performance and/or failure to deliver the agreed Council Plan</p>	<p>Causes</p> <p>Lack of and / or inadequate political direction</p> <p>Misalignment of resources and priorities due to unrealistic / undefined targets and objectives relating to timescales, capacity or remit</p> <p>Capacity and skills of the workforce are lacking or inadequate to support the delivery of targets</p> <p>Lack of officer advice taken to inform Committee or Council decision-making</p>	<p>Original</p> <p>5D</p>

CRR04: Strategic Planning and Leadership		Risk Owner: Stacey Bulet	Risk Score
		<p>Unprecedented circumstances requiring the reallocation of resources to meet urgent, reactive need e.g. COVID outbreak, natural emergency , EU exit, flooding</p> <p>Inadequate training and development programmes for member and senior officers</p> <p>Inability of staff to focus on core work areas due to capacity issues</p> <p>Lack of clarity or confidence in strategic direction</p> <p>Democratic and other decision-making processes ineffective</p> <p>Poor elected member / officer relationships and/or boundaries</p> <p>Significant national policy changes / direction e.g LGR, the future of planning</p>	
<p>Consequences</p> <p>Lack of direction</p> <p>Lack of delivery progress</p> <p>Failure to achieve long term improvements for local residents and businesses</p> <p>Resources not aligned to priorities/misuse of resources</p> <p>Loss of opportunities (e.g. financial - business rates)</p> <p>Lack of accountability</p> <p>Poor customer and stakeholder satisfaction</p> <p>Low staff morale and motivation</p> <p>Poor performance</p>	<p>Proactive Controls</p> <p>Council Plan and associated delivery programme in place</p> <p>Officer guidance and advice on corporate and strategic matters provided via Committee and Council reports; elected member briefings etc.</p> <p>CEX communications, including weekly staff meeting</p> <p>Regular updates to relevant Committees to focus on key areas of development</p> <p>MTFS in place to ensure appropriate levels of resourcing are in place to progress key workstreams defined within the Council Plan</p>	<p>Reactive Controls</p> <p>As an interim measure, existing performance management indicators are reviewed regularly at Committee</p> <p>Red and amber performance ratings are investigated and addressed where possible, with appropriate elected member scrutiny</p>	<p>Current</p> <p>3C</p>

CRR04: Strategic Planning and Leadership		Risk Owner: Stacey Bulet		Risk Score
<p>Reputational damage / poor reputation among stakeholders, communities and partners</p> <p>Poor officer/elected member relationships</p>	<p>Proactive learning and development programme for officers, with regular monitoring in place</p> <p>Learning and development programme for elected members</p>			
<p>Mitigating Actions</p> <p>A Council Plan was agreed by Council in September 2020. Now adopted, a new performance framework and corporate delivery programme will be developed to support the tracking of key indicators, milestones and delivery outcomes for 2021/22. Development has been delayed due to the need to prioritise COVID response and recovery. However, key workstreams continue to be progressed so the Council Plan progresses. This includes affordable housing, enforcement activity, IT modernisation, car parking.</p>				<p>Target</p> <p>1A</p>

CRR05: Financial Management		Risk Owner: Anton Hodge		Risk Score
<p>Description</p> <p>Failure to have adequate financial management within the Council</p>		<p>Causes</p> <p>Lack of data or poor system output</p> <p>Finance staff capacity</p> <p>Political/management perception</p> <p>Lack of informed decision making</p> <p>Lack of confidence, engagement, experience and awareness within managers across the council</p>		<p>Original</p> <p>5E</p>
<p>Consequences</p> <p>Over or underspend</p> <p>Lack of investment</p> <p>Damage to reputation</p> <p>Qualified audits</p>		<p>Proactive Controls</p> <p>Budget monitoring and reporting</p> <p>Root and branch reviews</p> <p>External support</p> <p>Financial Performance Reports</p> <p>Budget Managers' access to Pentana</p>	<p>Reactive Controls</p> <p>Budget monitoring and reporting, including capital</p> <p>Continuous cycle of Root and branch reviews</p>	<p>Current</p> <p>3C</p>

CRR05: Financial Management		Risk Owner: Anton Hodge	Risk Score
<p>Lack of awareness of resources, leading to impact on performance (spending in 'wrong' areas) Possible external intervention Weak long term planning</p>	<p>Financial Strategy Capital Plan Treasury management Report to committees Review and update reports on financial performance</p> <p>More member involvement and transparency in Financial Strategy and Capital Plan</p> <p>Review capacity of financial support Focussed reviews on areas of budget vulnerability, including overspends and where savings are expected</p> <p>Work with partners and other LAs to determine medium term impact of Covid on income streams and build into refreshed Financial Strategy – ongoing piece of work</p>	<p>Review of Audit arrangements to ensure correct focus on areas of risk Prioritisation of funding/use of reserves Review of commissioned and third party arrangements and obligations</p> <p>In-year review to ascertain impact of Covid and assess reliance on reserves to ensure a balanced outturn for 2020-21</p> <p>Additional External support where appropriate</p>	
<p>Mitigating Actions Deliver training/agree expectations of role of budget managers Use of Benchmarking – including financial and service performance Review all financial procedures including contract procedures Further work with service managers to ensure required savings are agreed and understood and production of “budget book” for senior managers</p>			<p>Target 2B</p>

CRR06: Information Governance		Risk Owner: Louise Wood	Risk Score
Description Ineffective data governance arrangements lead to unacceptable levels of unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to FOI requests, and inability to locate key data upon which the Council relies, resulting in loss of reputation and poor decision-making		Causes Lack of staff and expertise Lack of staff development Governance not embedded in organisational culture Information governance arrangements not in place for shared services Simple mistakes	Original 5E
Consequences Service user detriment Service failure Special measures Poor customer and/or staff satisfaction Staff turnover ICO decisions LGO decisions Damage to reputation Staff wellbeing suffers Legal action Financial penalties	Proactive Controls Training, policies in place, regular CIGG meetings, access to expert advice, monitoring systems and audits, information asset register, DPIA template in place Continue to emphasise personal responsibility of staff for all information and consider disciplinary action against breaches Continue to review information asset registers Ensure individual data sharing arrangements are completed for each activity Ensure Data Protection risks are managed to comply with GDPR Separate Information Governance Risk Register Online mandatory training completed by existing staff and by new starters as part of induction	Reactive Controls Breach process in place, FOI review process in place, lessons learnt considered, CIGG reviews	Current 3C
Mitigating Actions Ensure individual data sharing arrangements are completed for each activity Ensure Data Protection risks are managed to comply with GDPR - specifically around contracts and other service agreements Continue communications to staff and continue regular training			Target 3C

CRR07: ICT		Risk Owner: Louise Wood	Risk Score
Description Ability to deliver public services is severely compromised or reduced due to ICT failure		Causes Outdated or inappropriate policies Poor corporate controls over ICT system Inadequate contractual arrangements, and poor contract management Over-reliance on third party suppliers Outdated, ineffective or ill-configured ICT infrastructure Ill-configured or inadequate software Limited internal capacity Lack of adequate training in effective system use Lack of/inadequate equipment Inadequate disaster recovery planning System security is compromised through inadequate security controls or cyber attack Insufficient investment reduces ICT capacity and effectiveness	Original 5E
Consequences Citizens do not receive a service or a poor service Services are unable to operate, or must operate at a reduced level, for a protracted period of time Services are unable to operate efficiently Data is lost or irretrievable Organisation loses PSN connection Systems are breached	Proactive Controls PSN compliance healthcheck and certification Disaster recovery plans Contract audit Centralization of IT decision-making and budgets IT policies and procedures	Reactive Controls DR site available if required Third party support	Current 3C
Mitigating Actions External service review and reporting Annual third party healthcheck and implementation of actions Maintenance of software and systems within service support dates Ongoing investment in cloud and SaaS			Target 2B

CRR07: ICT	Risk Owner: Louise Wood	Risk Score
Training and development of staff in appropriate use of systems and software, including security Links with National Cyber Security Centre Testing of DR arrangements		

CRR08: Contracts and Procurement	Risk Owner: Simon Copley		Risk Score
Description	Causes		Original
Failure to ensure that effective procurement and contract management is carried out across the Council Brexit risk to procurement and supply chain	Lack of awareness and ownership across the Council Outdated policies and procedures The UK leaving the EU (Brexit) with no trading deals in place		5D
Consequences	Proactive Controls	Reactive Controls	Current
Inability to deliver Value for Money Risk of breaking procurement law and regulation Financial penalties Less effective contracts/contract management Missed opportunities The result of the Brexit negotiations could have a negative impact on the Council's supply chain, both with direct tier 1 suppliers and their sub-contractor network. Existing supply contracts may be impacted by changes in regulation, or legal requirements. Assurance of Supply - risk that a complete failure in supply of the goods / service (e.g. Carillion) from key suppliers could be felt.	Contracts Register Quarterly update and review Wider Partnership arrangements Supply chain assessment Increasing the regularity of supplier risk assessments, from annual to bi-annual or quarterly. Work with legal services to understand the impact. Early engagement with supply markets when we are looking to tender. Review of the services the council delivers to assess the potential impact on specific supply chains. Early supplier engagement should identify areas of cost increase that need to be factored into budget control and or change in requirements.	Review of expired contracts Retrospective permissions applied for Review of projects due out to the market at the time the UK leaves the EU	3C

CRR08: Contracts and Procurement		Risk Owner: Simon Copley	Risk Score
<p>Service levels may be impacted negatively by any changes in the Supply Chain or access to workers, particularly in low skilled categories.</p> <p>Financial risk need to consider if any supply changes will drive up costs of the Goods / Services/Works in the short/medium/long term.</p>	<p>New partnership in place with NYCC to deliver procurement services</p> <p>New Procurement and Contract Management Plan (taking into account healthcheck) to ensure that Value of Money is a key requirement and that relevant staff take a commercial approach to purchasing.</p>		
<p>Mitigating Actions</p> <p>Review contract procedure rules</p> <p>Ensure all staff with authority for procurement and contracts are appropriately trained and are aware of their responsibilities</p> <p>A detailed spend analysis to identify and deliver savings.</p> <p>Networking with relevant groups and other local authorities to ensure we are aware of important developments and to share and learn from good practice and review shared agreements</p> <p>Regular reporting on performance</p> <p>Review of shared service arrangements to ensure they are fit for purpose, including Internal Audit reports</p> <p>Undertake Supplier analysis, segment and understand our supplier base. See where your critical suppliers are, and even look at who supplies our suppliers. If there are EU companies in that mix, understand how that could impact the rest of our flow.</p>			<p>Target</p> <p style="background-color: green; color: black; font-weight: bold;">2B</p>

CRR09: Major Events/Incidents (non-Covid)		Risk Owner: Phillip Spurr	Risk Score
<p>Description</p> <p>Failure to respond to major regional, national and global events and incidents – and to learn from previous incidents</p>	<p>Causes</p> <p>Lack of senior officer and workforce capacity</p> <p>Lack of business support</p> <p>Poor networking</p> <p>Lack of IT capacity</p> <p>Lack of policy and horizon scanning function</p>		<p>Original</p> <p style="background-color: red; color: black; font-weight: bold;">5E</p>

CRR09: Major Events/Incidents (non-Covid)		Risk Owner: Phillip Spurr	Risk Score
		<p>Unknown and unpredicted events e.g. pandemic/natural weather events</p> <p>Concurrent events</p> <p>Failure to plan for, resource and deliver incident recovery</p> <p>Potentially foreseeable events –</p> <p>Pandemic incidents</p> <p>Carbon emissions</p> <p>Local Government reorganisation</p> <p>Government policy – major change of direction</p> <p>Scale of natural events e.g. flooding</p> <p>Sustained periods of inclement weather</p>	
Consequences	Proactive Controls	Reactive Controls	Current
<p>Death and / or failure to protect public health</p> <p>Lack of staff capacity to deliver services</p> <p>Lack of funding to deliver services</p> <p>Unable to cope with reduced (or increased) funding</p> <p>Not able to lobby appropriately</p> <p>Delays in responding to / implementing new requirements</p> <p>Costs arising from lack of pre-agreements and agreed policy/process e.g. potential supplier costs at end of EU transition period</p> <p>Missed opportunities</p> <p>Increased risk of flooding and other natural disasters</p> <p>Lack of ability to acquit civil contingency partnership accountabilities</p>	<p>Membership of regional/sub-regional response structures –Membership of expert bodies that lobby Government and provide updates and guidance during period of crisis e.g. DCN, LGA</p> <p>Allocation of finance to address key issues</p> <p>Cross department and cross-agency working</p> <p>Membership of expert bodies to guide our response to policy development</p> <p>Attendance at seminars, workshops and professional development</p> <p>Attendance of various Yorkshire and the Humber/ NY and Yorkshire-wide meetings i.e. Leaders, Chief Executives Group</p> <p>Regular liaison with partnership bodies e.g. the LEP</p> <p>Climate Change Action Plan</p>	<p>Briefing papers for Strategic Management Board and Elected Members on immediate and urgent issues relating to major change and incidents</p> <p>Participation in civil contingency planning and delivery – Strategic Command Group, Tactical Command Group for York and North Yorkshire</p> <p>Participation in region/sub-regional response groups</p> <p>Learning from table top exercises/previous events</p>	5D

CRR09: Major Events/Incidents (non-Covid)		Risk Owner: Phillip Spurr	Risk Score
Inability to support local communities and businesses to recover from major changes or incidents	Participation in civil contingency planning and delivery – Strategic Recovery Group for York and North Yorkshire Learning from previous incidents		
Mitigating Actions			
Networking with relevant groups and other local authorities to ensure we are consistent and sharing and learn from good practice. Formal incident review processes to identify and implement lessons learned.			Target 4D

CRR10: Safeguarding	Risk Owner: Margaret Wallace	Risk Score
Description	Causes	Original
Failure to ensure Safeguarding (Children and Adults). Risk of death or injury to children/adults, through inappropriate practices, care or attention.	<p>Lack of awareness and ownership across the Council</p> <p>Outdated policies and procedures</p> <p>Lack of assurance that written policies and procedures are actually being followed</p> <p>Contact details in the Safeguarding Policy are not up to date</p> <p>Training records are not adequate</p> <p>Compulsory attendance at safeguarding training for members has not been monitored and enforced.</p> <p>No clear list of DBS Checks necessary for staff</p> <p>Updating the guidance available to employees in respect of convictions.</p> <p>Safeguarding arrangements are not included in contracts as standard</p> <p>Regular refresher training about information security and internet usage</p> <p>The Whistleblowing Policy needs to be updated.</p>	5D

CRR10: Safeguarding		Risk Owner: Margaret Wallace		Risk Score
Consequences		Proactive Controls	Reactive Controls	Current
<ul style="list-style-type: none"> - Poorer outcomes for children and adults. - Impact on statutory responsibilities and regulatory judgement. - Complaints/claims/litigation - Increased costs - Adverse publicity - Reputation damage - Adverse effect on the Council's partners and providers - Adverse effect on morale 		<p>Audit undertaken Quarterly update and review meeting in place with management team Safeguarding action plan in place to mitigate risk and address any issues Safeguarding lead updated Quarterly reports to SMB on safeguarding HR policies updated Training records updated Safeguarding policy read and understood by employees recorded</p>	<p>Annual check on safeguarding terms or reference/ policy Annual review of contract management for safeguarding clause. Annual review of safeguarding training Policies and procedures will be reviewed on an annual basis to ensure they are kept up to date with new legislation/guidance version control will be introduced to ensure annual review undertaken Safeguarding action plan/report will report quarterly to SMB and Overview and Scrutiny council committee</p>	3C
Mitigating Actions				Target
<p>Quarterly meeting set up and attend by all manager to highlight awareness and ownership across the Council New policy and procedure drafted and distributed to all managers and staff. Record of employee having read and understood the new safeguarding policy recorded across the council Contact details in the Safeguarding Policy are now updated Guidance drafted from HR of necessity for DBS checks and assessment, all managers checking JD, risk assessing and ensuring safe recruitment practices put in place. The Whistleblowing (Speaking out) policy updated. Senior Management/Heads of service/ managers to include safeguarding in their Team meetings, service/team plans All Head of service/ managers will ensure that all staff have undertaken mandatory safeguarding training and ensured they have been given the policy and procedures This will be recorded at 1-2-1 and PRDs Review arrangements for the recovery of the systems following a software crash in line with business continuity/risk plans</p>				2B