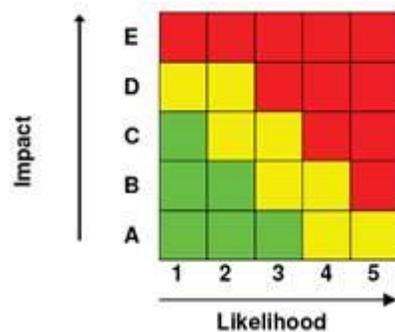


RYEDALE DISTRICT COUNCIL: CORPORATE RISK REGISTER

INDEX		
Description	Risk Owner	Page
CRR01 – Covid - 19	Stacey Burlet	2
CRR02 – Health and Safety	Louise Wood	7
CRR03 – Staffing Resilience and Capacity	Haroon Rashid	9
CRR04 – Strategic Planning and Leadership	Stacey Burlet	13
CRR05 – Financial Management	Anton Hodge	15
CRR06 – Information Governance	Louise Wood	17
CRR07 – ICT	Louise Wood	19
CRR08 – Contracts and Procurement	Simon Copley	21
CRR09 – Major Events/Incidents (non - Covid)	Margaret Wallace	23
CRR10 – Job Creation, Economic Sustainability Growth	Phillip Spurr	25
CRR11 - Safeguarding	Margaret Wallace	29
CRR12 – Local Government Reorganisation	Stacey Burlet	31



Score	Likelihood	Score	Impact
1	Very Low	A	Low
2	Not Likely	B	Minor
3	Likely	C	Medium
4	Very Likely	D	Major
5	Almost Certain	E	Disaster

CRR01: Covid - 19	Risk Owner: Stacey Burlet	Risk Score
<p>Description</p> <p>Failure to 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 resilience and staff support though the Covid/post-Covid recovery period.</p>	<p>Causes</p> <p>Spread of virus/mutations cannot fully be controlled</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 / standardised policies and procedures may 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 and unemployment resulting from the impact of Covid - 19</p> <p>Economic recession arising from the consequences of Covid – 19 with subsequent local business failures and job losses</p> <p>Staff sickness and the ability to deliver critical services/ longer term objectives as set out in the Council Plan</p> <p>Multiple staff isolation all at the same time impacting on resources and the level of service delivery across all areas</p> <p>Failure to recognise the scale of the Covid shock upon the operations of the Council and its staff and respond accordingly, including short and long-term impact</p> <p>Vulnerable residents not being able to access support</p> <p>Lack of sustainability over the longer term across the voluntary and community sector</p> <p>Failure to support Community Support Organisations and the wider voluntary and community sector effectively</p> <p>Failure to secure sufficient Government funding to address key issues</p>	<p>Original</p> <p>5E</p>

CRR01: Covid - 19		Risk Owner: Stacey Burlet	Risk Score
		<p>Lack of financial and staffing capacity 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</p>	
Consequences	Proactive Controls	Reactive Controls	Current
<p>Rate and spread of Covid-19 mutations increases locally</p> <p>Increased deaths and/or long-term health conditions</p> <p>Lack of test and trace capacity locally including RDC's failure to support the provision of effective processes</p> <p>Increased risk of and potential consequences of local targeted interventions</p> <p>Increased levels of poverty, job losses, 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</p>	<p>Full engagement with district, regional and national partners to support COVID response and recovery, including national Government and funding agencies and multi-agency locality focused activity</p> <p>Advice, guidance and proactive support provided to attractions, businesses and communities by a range of Council services</p> <p>Proactive engagement on mutual aid issues</p> <p>Plans for response and recovery are in place and operational.</p> <p>RDC employee procedures and arrangements are in place including personal and workplace based risk assessments; these are revisited in line with changing Government guidance</p> <p>Additional capacity sourced and implemented where required (e.g. Planning support)</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 Council's role in protecting lives and livelihoods is fully acquitted</p> <p>Daily scrutiny of data and intelligence to determine any actions required</p> <p>Facilitation of physical and virtual meetings in accordance with virus prevalence</p> <p>Briefings and communications for Elected Members, Strategic Management Board, and all staff as needed</p> <p>Ongoing participation in district, regional and national working groups, that are coordinating immediate response (i.e. in relation to outbreak management) and recovery</p> <p>Ongoing activity to ensure that strategic plans reflect emerging policy direction</p>	3D

CRR01: Covid - 19		Risk Owner: Stacey Burlet	Risk Score
<p>Decline in physical and mental health of residents</p> <p>Pressures resulting in reduced voluntary and community sector sustainability</p> <p>Potential for community tensions</p> <p>Performance reduction / failures as a consequence of increased demands on Council services from customers and businesses</p> <p>Failure to deliver key Council services / longer term Council Plan objectives</p> <p>Adverse social and health consequences for staff leading to staff absence/reduced productivity</p> <p>Reputational risks resulting in a loss of public confidence in the Council</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 officers (HSE)</p>	<p>Workforce access to PPE and health assured support</p> <p>Weekly staff meetings with the CX, supplemented by email and intranet based communications</p> <p>Additional support for the voluntary and community sector including the Community Connect partnership support programme</p> <p>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</p> <p>Update of Business Continuity Plans to take into account of ongoing Covid/post-Covid demands</p>	<p>Provision of budgets to ensure appropriate resources are in place to deliver key services following Section 151 advice</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> <p>Targeted interventions are being undertaken where required by Environmental Health Officers</p>	

CRR01: Covid - 19	Risk Owner: Stacey Burlet	Risk Score
Loss of revenue to the Council and use of reserves to offset the financial consequences of Covid -19		
Mitigating Actions		Target
<p>Targeted interventions are being undertaken where required by Environmental Health Officers</p> <p>Increased staffing capacity in stress / high volume areas - e.g. Planning</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.</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 post Covid/post-EU transition periods.</p> <p>Continual delivery of effective communications for businesses/Ryedale residents</p> <p>The Section 151 Officer is assessing the continuing impact of post-Covid recovery work as funding for Covid measures was only provided to the end of September. Financial impacts may extend beyond this date, which may necessitate agreement for additional investment to cope with increased service demands. Wherever possible, costs will be contained.</p> <p>Increased investment in resources 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 and that appropriate home working facilities and support are in place</p> <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>		3C

CRR02: Health and Safety		Risk Owner: Louise Wood		Risk Score
Description Failure to comply with and embed health and safety policy and procedures in the council		Causes Policies and procedures outdated or not fit-for-purpose Lack of understanding, buy in and consistency across the Council Inadequate recording Lack of proactive actions Weak action planning Lack of support capacity Lack of adequate training Subcontractors and commissioned organisations Lack of /inadequate equipment Public health incidents / pandemics		Original
				5E
Consequences	Proactive Controls	Reactive Controls	Current	
Resulting in injuries, fatalities, claims Reputational damage Impact on service delivery Risk of prosecution and financial penalties for the organisation Prosecution and personal liability of senior officers and consequences for Leader/Dep Leader Lack of containment of public health emergencies	Health and safety policy Health and Safety Action Plan Quarterly Corporate Health , Safety and Wellbeing Group Mandatory training (SMB monitored) and service-specific training Covid -19 risk assessment and controls in place with regards to service delivery, employee welfare and democratic meetings Democratic meetings policy and risk-assessments	Accident reporting procedure Annual health and safety report Daily COVID-secure workplace monitoring	3C	

CRR02: Health and Safety	Risk Owner: Louise Wood	Risk Score
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>Regular 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 and public health.</p>		2B

CRR03: Staffing Resilience and Capacity		Risk Owner: Haroon Rashid		Risk Score	
Description Lack of resilience or capacity to achieve strategic and/or operational objectives		Causes Lack of staffing resource to support delivery against strategic and operational objectives Lack of staff development to support succession planning, retention and successful delivery Inadequate budget to fund an appropriate staffing structure Poor reputation as an employer Failure to recruit, particularly in specialist areas where the market is highly competitive Lack of or inadequate workforce strategy Covid-19 pandemic impact on labour market Covid-19 long Covid implications Unprecedented circumstances requiring the reallocation of resources to meet urgent, reactive need e.g. COVID outbreak, natural emergency , BREXIT LGR proposals may have an impact on staff turnover, staff resilience and morale		Original	5D
Consequences	Proactive Controls	Reactive Controls	Current		
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	On-going proactive 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	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.	3C		

CRR03: Staffing Resilience and Capacity	Risk Owner: Haroon Rashid		Risk Score
<p>Increasing sickness levels</p> <p>Higher staff turnover</p> <p>LGO decisions</p> <p>Damage to reputation</p> <p>Staff wellbeing suffers</p> <p>Legal action</p> <p>Financial penalties</p> <p>Failure to meet legislative requirements, election and electoral register responsibilities</p> <p>Increasing levels of sickness absence as a result of COVID-19 contraction rates</p> <p>Inability to meet increased service demand as a consequence of additional accountabilities and increased service demand brought about by COVID -19</p>	<p>taking place to ensure that the pulse of the organisation is taken and responded to.</p> <p>Regular surveys – ensuring views of workforce are captured and concerns are responded to.</p> <p>Graduate trainees and apprenticeship programmes in place.</p> <p>HR/OD service ensures that organisational development and the employee journey is increasingly focused upon.</p> <p>Elections Risk Register.</p> <p>All staff complete mandatory training requirements, with accelerated levels for managers.</p> <p>Shared service arrangements in place to support organisational resilience where this represents best value and ensures that a focus can be maintained on both short and longer term objectives.</p> <p>Increased staffing capacity investment in place endorsed through budget setting processes</p>	<p>Service Risk Registers incorporate mitigations for resilience and capacity risks</p> <p>Zero tolerance approach rolled out includes acting on the speak out policy as needed and exit interview intelligence</p> <p>Additional control measures as identified / required to ensure COVID secure workplaces and service delivery</p>	

CRR03: Staffing Resilience and Capacity	Risk Owner: Haroon Rashid	Risk Score
	<p>People and Culture Plan reviewed and rolled out with ongoing assessment of effectiveness.</p> <p>Organisational Development programme initiated with manager & staff involvement as appropriate.</p> <p>New Ways of Working plans discussed and implemented – service specific</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>Appraisal process rolled out linked to LGR decision and council plan delivery.</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 reviewed regularly</p>	
Mitigating Actions		Target
<p>Appraisal process Grades 10 and below has been refreshed and revised to ensure that there is a focus on issues such as supporting LGR transition, and performance against strategic and operational goals and a training, learning and development plan linked to professional and personal goals. Appraisal rollout commenced from the beginning of August, with an expectation that all appraisals will be completed by the end of September.</p> <p>Initial 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>Review of Waste Services currently taking place to ensure the operating model is fit for purpose.</p>		2B

CRR04: Strategic Planning and Leadership	Risk Owner: Stacey Burlet	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>Misalignment of resources and priorities due to unrealistic / undefined targets and objectives</p> <p>Unrealistic expectations 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 advice taken to inform planning, delivery or decision-making</p> <p>Unprecedented circumstances requiring the reallocation of resources to meet urgent, reactive need e.g. COVID outbreak, natural emergency , BREXIT</p> <p>Inadequate training and development programmes for member and officers</p> <p>Lack of clear political direction</p> <p>Inability of officers to focus on core work areas due to capacity issues</p> <p>Lack of clarity or confidence in strategic direction</p> <p>Decision processes ineffective</p> <p>Sensitivity around elected member / officer relationships</p>	<p>Original</p> <p>5D</p>

CRR04: Strategic Planning and Leadership		Risk Owner: Stacey Burlet	Risk Score
		Significant national policy changes / direction e.g. LGR, the Future of Planning	
Consequences	Proactive Controls	Reactive Controls	Current
<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 Loss of opportunities (e.g. financial - business rates) Lack of accountability</p> <p>Poor customer and stakeholder satisfaction</p> <p>Low staff morale and motivation</p> <p>Poor leadership performance</p> <p>Reputational damage / poor reputation among stakeholders, communities and partners</p> <p>Lack of political leadership prevents Ryedale from taking part in important conversations about our future at regional and national level</p> <p>Changes in political leadership impacting on local and regional partnerships</p>	<p>Council Plan 2020-24 in place</p> <p>Strategy and performance management team in place</p> <p>Regular Management Board programme determines officer guidance and advice on corporate and strategic matters</p> <p>CEX communications and weekly staff meetings</p> <p>Regular updates to relevant Committees to focus on key areas of development</p> <p>Complaints and compliments monitoring</p> <p>Annual report and quarterly performance monitoring</p>	<p>Red and amber performance ratings are investigated and addressed where possible, with appropriate elected member scrutiny</p> <p>Targeted interventions as required to address complaints trends</p> <p>Business case / bid development as required to progress delivery of key work programmes identified within the Council Plan</p> <p>Mutual aid being established for enacted as required during LGR</p>	3C
Mitigating Actions			Target

CRR04: Strategic Planning and Leadership	Risk Owner: Stacey Burlet	Risk Score
<p>A n annual report of progress against the Council Plan during 2020-21 is due to be presented to P&R in September.</p> <p>Quarterly performance monitoring for 2021-22 begins at September’s P&R.</p> <p>Refresh of the Council Plan is being organised to determine key delivery priorities given the recent LGR decision and changes in political leadership.</p>		<p>3C</p>

CRR05: Financial Management		Risk Owner: Anton Hodge		Risk Score
Description Failure to have adequate financial management within the Council		Causes Lack of data or poor system output Finance staff capacity Political/management perception Lack of informed decision making Lack of confidence, engagement, experience and awareness within managers across the council		Original 5E
Consequences	Proactive Controls	Reactive Controls	Current	
Over or underspend Lack of investment Damage to reputation Qualified audits Lack of awareness of resources, leading to impact on performance (spending in 'wrong' areas) Possible external intervention Weak long term planning	Budget monitoring and reporting Root and branch reviews External support Financial Performance Reports Budget Managers' access to Pentana Financial Strategy Capital Plan Treasury management Report to committees Review and update reports on financial performance Review capacity of financial support	Budget monitoring and reporting, including capital Continuous cycle of Root and branch reviews 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 In-year review to ascertain impact of Covid and assess reliance on reserves to ensure a balanced outturn for 2021-22 Work with partners and other LAs to determine medium term impact of Covid on income streams and build into refreshed Financial Strategy – due in late autumn	3C	

CRR05: Financial Management	Risk Owner: Anton Hodge	Risk Score
	More member involvement and transparency in Financial Strategy and Capital Plan	
Mitigating Actions		Target
<p>Additional External support where appropriate</p> <p>Deliver training/agree expectations of role of budget managers</p> <p>Use of Benchmarking – including financial and service performance</p> <p>Review all financial procedures including contract procedures</p> <p>Focussed reviews on areas of budget vulnerability, including overspends and where savings are expected</p> <p>Work with service managers to ensure required savings are agreed and understood</p> <p>Ensure members are kept informed of spending plans and impact on reserves</p> <p>Set out financial procedures relating to LGR – if and where appropriate</p>		2B

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	Proactive Controls	Reactive Controls	Current	
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	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	Breach process in place, FOI review process in place, lessons learnt considered, CIGG reviews	3D	

CRR06: Information Governance		Risk Owner: Louise Wood	Risk Score
	Online mandatory training completed by existing staff and by new starters as part of induction		
Mitigating Actions			Target
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 Continue regular training			4C

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	Proactive Controls	Reactive Controls	Current		
Citizens do not receive a service or receive 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	PSN compliance health check and certification Disaster recovery plans Contract audit Centralization of IT decision-making and budgets IT policies and procedures	DR site available if required Third party support	3C		

CRR07: ICT	Risk Owner: Louise Wood	Risk Score
Mitigating Actions		Target
<p>External service review and reporting</p> <p>Annual third party health check and implementation of actions</p> <p>Maintenance of software and systems within service support dates</p> <p>Ongoing investment in cloud and SaaS</p> <p>Training and development of staff in appropriate use of systems and software, including security</p> <p>Links with National Cyber Security Centre</p> <p>Testing of DR arrangements</p>		2C

CRR08: Contracts and Procurement		Risk Owner: Simon Copley		Risk Score
Description Failure to ensure that effective procurement and contract management is carried out across the Council Brexit risk to procurement and supply chain		Causes Lack of awareness and ownership across the Council Outdated policies and procedures The UK leaving the EU (Brexit) with no trading deals in place		Original 5D
Consequences		Proactive Controls	Reactive Controls	Current
<p>Inability to deliver Value for Money</p> <p>Risk of breaking procurement law and regulation</p> <p>Financial penalties Less effective contracts/contract management</p> <p>Missed opportunities</p> <p>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.</p> <p>Existing supply contracts may be impacted by changes in regulation, or legal requirements.</p> <p>Assurance of Supply - risk that a complete failure in supply of the goods / service (e.g. Carillion) from key suppliers could be felt.</p> <p>Service levels may be impacted negatively by any changes in the Supply Chain or access to</p>		<p>Contracts Register</p> <p>Quarterly update and review</p> <p>Wider Partnership arrangements</p> <p>Increase the regularity of supplier risk assessments, from annual to bi-annual or quarterly, dependent on the strategic importance of the contract.</p> <p>Work with legal services to understand financial and legal the impact of non-compliant contracts or those operating on suppliers' terms and conditions.</p> <p>Early engagement with supply markets when we are looking to tender.</p> <p>Review of the services the council delivers to assess the potential impact on specific supply chains.</p> <p>Early supplier engagement should identify areas of cost increase that need to be</p>	<p>Review of expired contracts</p> <p>Retrospective permissions applied for</p> <p>Review of projects due out to the market at the time the UK leaves the EU</p>	3C

CRR08: Contracts and Procurement		Risk Owner: Simon Copley	Risk Score
<p>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>factored into budget control and or change in requirements.</p> <p>New partnership in place with NYCC to deliver procurement services</p>		
Mitigating Actions			Target
<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>Draw up new Procurement and Contract Management Strategy (taking into account healthcheck) and Action Plan to ensure that Value of Money is a key requirement and that relevant staff take a commercial approach to purchasing. This will also encompass 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>			2B

CRR09: Major Events/Incidents (non-Covid)		Risk Owner: Margaret Wallace		Risk Score
Description Failure to respond to major regional, national or global events and incidents – and to learn from previous incidents		Causes Lack of senior officer and workforce capacity Lack of business support Poor networking Lack of IT capacity Lack of policy and horizon scanning function Unknown and unpredicted events e.g. natural disasters Potentially foreseeable events, e.g.: Carbon emissions Local Government reorganisation Government policy – major change of direction Scale of natural disaster e.g. flooding Sustained periods of inclement weather		Original 5E
Consequences	Proactive Controls	Reactive Controls	Current	
Lack of staff capacity to deliver services Lack of funding to deliver services Unable to cope with reduced (or increased) funding Not able to lobby appropriately Delays in responding to / implementing new requirements Costs arising from lack of pre-agreements and agreed policy/processes Missed opportunities	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 Allocation of finance to address key issues Cross department and cross-agency working Membership of expert bodies to guide our response to policy development Attendance at seminars, workshops and professional development	Briefing papers for Strategic Management Board and Elected Members on immediate and urgent issues relating to major change and incidents Participation in civil contingency planning and delivery – Strategic Command Group, Tactical Command Group for York and North Yorkshire Participation in region/sub-regional response groups Learning form table top exercises/previous events	5D	

CRR09: Major Events/Incidents (non-Covid)		Risk Owner: Margaret Wallace	Risk Score
<p>Death and / or failure to protect public health</p> <p>Increased risk of flooding and other natural disasters</p> <p>Lack of ability to deliver civil contingency partnership accountabilities</p> <p>Inability to support local communities and businesses to recover from major changes or incidents</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>Participation in civil contingency planning and delivery, e.g. Strategic Recovery Group for York and North Yorkshire</p> <p>Learning from previous incidents</p>		
Mitigating Actions			Target
Networking with relevant groups and other local authorities to ensure we are consistent and sharing and learn from good practice			4D

CRR10: Job Creation, Economic Sustainability and Growth		Risk Owner: Phillip Spurr	Risk Score
Description Failure to support business and the growth/retention of jobs locally as the district recovers from the Covid pandemic; failure to take advantage of the benefits of national (e.g. a York/North Yorkshire devolution deal) and international changes (departure from the EU)		Causes Failure to recognise the scale of the Covid economic shock and respond accordingly Failure to recognise the opportunities offered by devolution and from the new arrangements with the EU Lack of effective strategic planning to address these issues Lack of effective engagement with partner agencies within and beyond Ryedale Failure to engage effectively in shaping a final devolution deal Failure to secure sufficient Government funding to address key issues Lack of financial and staffing capacity deliver required actions	Original 5D
Consequences	Proactive Controls	Reactive Controls	Current
Economic underperformance leading to business failures and job losses Adverse social and health consequences Decline/stagnation in district town centres Decline in key economic sectors, including agriculture/manufacturing/services/retail, leisure and hospitality Inability to deliver key infrastructure improvements Inability to deliver low carbon initiatives Ryedale becomes an unattractive location for investment, and for people to live, work, invest and visit	New corporate plan reflects opportunities/priorities in each of these areas Development and delivery of a comprehensive Ryedale post-Covid economic recovery plan Effective provision of business support – both financial and non-financial Full engagement with district, regional and national partners to deliver economic recovery – e.g. LEP/NYCC/national Government/funding agencies	Briefing papers for Elected Members and, Strategic Management Board provided on a regular basis on each of these issues Ongoing participation in working groups, fora and partnerships helping to direct these activities Ongoing activity to ensure that strategic plans reflect emerging policy direction Regular performance monitoring, with mitigating actions taken Briefing papers for Elected Members and, Strategic Management Board provided on a regular basis on each of these issues	3D

CRR10: Job Creation, Economic Sustainability and Growth		Risk Owner: Phillip Spurr	Risk Score
<p>Increased loss of young people seeking economic opportunities elsewhere</p> <p>Increased unemployment</p> <p>Loss of investment/business as it seeks opportunities elsewhere</p> <p>Reputational risks – to the council and to the wider district</p> <p>Loss of public confidence in the council</p> <p>Recruitment difficulties</p> <p>Price uncertainty and supply chain difficulties</p> <p>Price pressures from contractors, increased demands on services from customers and businesses</p> <p>Loss of revenue to the council</p>	<p>Securing of additional investment – eg. Levelling Up[/Community Renewal Fund resources</p> <p>Proactive lobbying to ensure that Government funding support is maximised for all Ryedale economic sectors including manufacturing, services, retail, leisure and hospitality, tourism and culture</p> <p>Proactive engagement to shape the asks of the York/North Yorkshire devolution deal/local government reorganisation to ensure that benefits to Ryedale are maximised</p> <p>Utilisation of guidance upon Britain’s future relationship with the EU on specific areas such as trade/procurement/funding programmes</p> <p>Progress on all actions monitored and reported to Strategic Management Board and to Members of a regular basis</p>	<p>Lobbying of local, regional and national partners to increase support and resources to promote increased economic sustainability</p>	

CRR10: Job Creation, Economic Sustainability and Growth	Risk Owner: Phillip Spurr	Risk Score
Mitigating Actions		Target
<p>Work with businesses, partner agencies and Government to ensure that funding is maximised, support is in place and plans are delivered to support business health, jobs and livelihoods in the post Covid/post-EU transition periods</p> <p>Engage in partnership groups/fora to ensure effective planning and delivery of cross-North Yorkshire economic recovery initiatives</p> <p>Report on an ongoing basis to central Government on Covid/post EU transition economic impacts</p> <p>Play a full role in negotiations with Government to agree devolution asks and shape local government reorganisation proposals</p> <p>Participate in engagement activities arranged by Government upon planning for the future relationship with the EU; review impact on the Council and report regularly to Members/Strategic Management Board.</p> <p>New EU relationship - continue to receive notification on emerging guidance on areas affecting Local Government, review impact on the Council and report regularly on this to Management Board</p> <p>Workforce: monitor the potential impact on recruitment in particular and put together an appropriate action plan if required Prepare and implement Corporate new EU relationship Readiness Action Plan</p> <p>As part of the budget setting process, consider the impact of post-Covid economic recovery work, devolution/local government reorganisation proposals and the impact of the new relationship with the EU</p> <p>Continue to ensure that key messages/information in each of these areas is publicised both internally and externally.</p> <p>Participate in engagement activities arranged by Government upon planning for the future; review impact on the Council and report regularly to Members/Strategic Management Board.</p>		3C

CRR11: Safeguarding		Risk Owner: Margaret Wallace		Risk Score
Description		Causes		Original
<p>Failure to ensure Safeguarding (Children and Adults), risk of death or injury to children/adults, through inappropriate practices, care or attention</p>		<p>Lack of awareness and ownership across the Council Outdated policies and procedures Lack of assurance that written policies and procedures are actually being followed Contact details in the Safeguarding Policy are not up to date Training records are not adequate Compulsory attendance at safeguarding training for members has not been monitored and enforced. No clear list of DBS checks necessary for staff Updating the guidance available to employees in respect of convictions. Safeguarding arrangements are not included in contracts as standard Regular refresher training about information security and internet usage The Whistleblowing Policy needs to be updated</p>		5D
Consequences	Proactive Controls	Reactive Controls	Current	
<p>Poorer outcomes for children and adults</p> <p>Impact on statutory responsibilities and regulatory judgement</p> <p>Complaints/claims/litigation</p> <p>Increased costs</p> <p>Adverse publicity</p> <p>Reputation damage</p> <p>Adverse effect on the Council's partners and providers</p>	<p>Internal Audit undertaken</p> <p>Quarterly safeguarding meetings are place with representatives from each service areas</p> <p>Quarterly meeting in place with elected members leads</p> <p>SMART Safeguarding action plan in place to mitigate risk and address any issues</p> <p>Quarterly reports to SMB on safeguarding</p> <p>HR policies updated, and placed on Bob, all staff have read and understood the policy, and this is recorded centrally</p>	<p>Annual check on safeguarding terms or reference/ policy</p> <p>Annual review of contract management for safeguarding clause</p> <p>Annual review of safeguarding training</p> <p>Policies and procedures will be reviewed on an annual basis to ensure they are kept up to date with new legislation/guidance and version control will be introduced to ensure annual review undertaken</p> <p>Safeguarding action plan/report will report quarterly to SMB and Overview and</p>	3C	

CRR11: Safeguarding		Risk Owner: Margaret Wallace		Risk Score
Adverse effect on morale	Training records updated Safeguarding training records being updated centrally	Scrutiny Committee		
Mitigating Actions				Target
<p>Quarterly meeting set up and attended by all manager (service rep) to highlight awareness and ownership across the Council</p> <p>New policy and procedure drafted and distributed to all managers and staff and placed on BOB</p> <p>Record of employee havening read and understood the new safeguarding policy recorded across the council centrally and checked quarterly for staff who have left or started with the council</p> <p>Contact details in the Safeguarding Policy are now updated</p> <p>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</p> <p>The Whistleblowing Policy has been updated</p> <p>Senior management/heads of service/ managers to include safeguarding in their service/team plans and report back on progress</p> <p>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 and this is recorded centrally or om 1-2-1 and PRDs</p> <p>Review arrangements for the recovery of the systems following a software crash in line with business continuity/risk plans</p> <p>Out of hours standby arrangements in place in Ryecare, housing and community team</p>				2B

CRR12: Local Government Reorganisation		Risk Owner: Stacey Burlet	Risk Score
Description Failure to plan for local government reorganisation, operate effectively during reorganisation, and plan for and manage the transition to a new local authority.		Causes Challenging and inflexible timeline set by Government directive and legislation Insufficient staffing resources Ineffective collaboration between authorities Insufficient capacity to support implementation expectations for resourcing Workforce instability Lack of adequate training, support and guidance for the workforce Reduction in quality of democratic representation / decision-making Loss of local knowledge and expertise Disruption to existing service delivery Anticipated benefits may not be realised Potential non-compliance with data regulations and cyber-attacks Political instability Weakened Trade Union/Industrial relations Financial implications Service failure Lack of / poor governance	Original 5E
Consequences	Proactive Controls	Reactive Controls	Current
Reputational damage Lack of productivity / reduced performance / service failure Risk of prosecution and financial penalties for the organisation Impact on capacity to contribute to LGR programme effectively Weakened relationships with other key stakeholders	Staff Q&As and communications (email, intranet); including CX-led weekly meeting Elected Member communications/briefings Group Leader engagement Programme to provide advice, support and training to the workforce; which includes refreshed appraisal roll out to determine the programme for support over the next 18 months	Weekly staff meeting updates Information Governance and Data Protection Rights Policy Equalities in Employment Policy Redeployment and Redundancy Policy and procedure Recruitment Policy, Framework and Guidelines including Safer Recruitment	3C

CRR12: Local Government Reorganisation		Risk Owner: Stacey Burlet		Risk Score
<p>Loss of key staff during the transition, combined with reduced ability to recruit new staff</p> <p>Loss of meaningful representation of local communities</p> <p>Complexity in achieving strategic alignment between Members</p> <p>Potential for conflict in change process</p> <p>Reduced budgets/capital due to increased spend prior to reorganisation</p> <p>Increased levels of staff sickness and fatigue</p>	<p>CX involvement in MHCLG and N.Yorkshire wide CX meetings; Chair of P&R involvement in political equivalent</p>	<p>Staff Q&As and communications</p> <p>Elected Member communications/briefings</p> <p>Workstream development and delivery with involvement of key staff</p>		
Mitigating Actions				
<p>The 2023 implementation timeline will allow for appropriate governance and implementation arrangements to be put in place</p> <p>Additional resource will be required to support the delivery of the transition programme across all relevant councils</p> <p>Significant amount of communications and engagement with staff will be rolled out across employee groups and on intranets, as well as open and honest engagement with trade unions and implementation team arrangements.</p> <p>Boundary Commission will undertake review during the first term of the new council; electoral arrangements are being considered at the earliest stages of the implementation process.</p> <p>All councils will be required to play a key role in the design of new services/transition arrangements; and ensuing service continuity from day 1</p>				<p>Target</p> <p>2B</p>

CRR12: Local Government Reorganisation	Risk Owner: Stacey Burlet	Risk Score
There will be a process in place for significant spending to be signed off through continuing authority governance processes Ongoing tracking of benefits realised will occur via the implementation team		