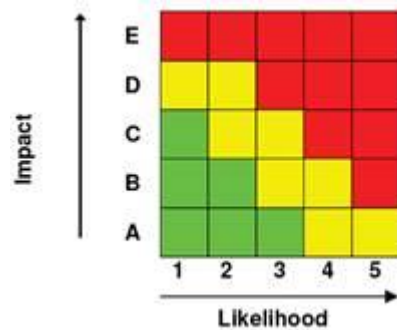


RYEDALE DISTRICT COUNCIL: CORPORATE RISK REGISTER

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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 / the LGR programme</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>Lack of financial and staffing capacity deliver required actions</p>	<p>Original</p> <p>5E</p>

CRR01: Covid - 19		Risk Owner: Stacey Burlet	Risk Score
		<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, nationally and globally</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, customer access, democratic meetings and service delivery 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 / LGR</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>Loss of revenue to the Council and use of reserves to offset the financial consequences of Covid -19</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, which includes updates in relation to customer, democratic and workforce arrangements as impacted by COVID</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 Government 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
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 in place - 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 has assessed the cost of post-Covid recovery work to the end of Q3 2021/22. Financial impacts associated with Omicron will now be tracked, with the Covid 19 financial tracker now being reissued to ensure that any additional costs are tracked and can be reported to Elected Members as needed</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>Assessing levels of staff resilience/appropriate resourcing in the event of concurrent incidents (e.g. winter flooding), with clear plans in place with regards to prioritising the delivery of critical services – e.g. Ryecare, housing and homelessness, domestic waste collection, revenues and benefits, communities and environmental health</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: Margaret Wallace		Risk Score
Description Failure to comply with and embed health and safety policy and procedures in the council could result in risk to the safety of employees, visitors, contractors and citizens		Causes Policies and procedures outdated or not fit-for-purpose Lack of management oversight and controls by managers and 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, contract management 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 Covid outbreak / lack of staff and reputational damage		Health and safety policy and action plan are reviewed on a regular basis, with updates and advice provided to managers Health and safety risk assessment in place and reviewed regularly 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: Margaret Wallace	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>		<p>2B</p>

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 the range of strategic and operational objectives and demands Lack of staff development to support succession planning, retention and successful delivery, including LGR transition Inadequate budget to fund an appropriate staffing structure / LGR implementation Poor reputation as an employer / lack of perceived continuity as an employer given LGR Failure to recruit, particularly in specialist areas where the market is highly competitive Lack of or inadequate workforce strategy including failure to take advice to inform planning, delivery or decision-making 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 Increasing impact of LGR proposals on staff turnover, staff resilience and morale Loss of senior staff prior to vesting date of the new North Yorkshire Council Sensitivity around elected member / officer relationships		Original		5D
Consequences		Proactive Controls		Reactive Controls		
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		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		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	Current 3C	

CRR03: Staffing Resilience and Capacity	Risk Owner: Haroon Rashid		Risk Score
<p>Low staff morale Poor productivity among staff</p> <p>Increasing sickness levels</p> <p>Higher staff turnover and loss of talent</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>Financial monitoring and reporting - including a new approach to budget strategy development and oversight</p> <p>Regular CX, SMB, manager & staff communication and engagement sessions 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 an action plan put in place to address concerns</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>staff shortages have occurred (e.g. street sweeping so that bin collections occurred) Overtime – exceptional and by agreement</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>Increased staffing capacity investment in place endorsed through budget setting processes</p> <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>Revised Council Plan and associated 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>	

CRR03: Staffing Resilience and Capacity	Risk Owner: Haroon Rashid	Risk Score
	<p>Adoption of new policies and procedures such as zero tolerance</p> <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 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. Appraisals took place across the organisation in August/September 2021 and will be reviewed every 6 months</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: 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 Unforeseen financial pressures resulting from Covid-19 and associated variants Funding cuts Political environment changes Economic – high inflation/increased demand		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	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	3C	

CRR04: Financial Management		Risk Owner: Anton Hodge		Risk Score
	<p>Review and update reports on financial performance</p> <p>Review capacity of financial support More member involvement and transparency in Financial Strategy and Capital Plan</p>	<p>Work with partners and other LAs to determine medium term impact of Covid on income streams and build into refreshed Financial Strategy</p>		
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, including any impact on decision-making processes</p>				<p>2B</p>

CRR05: Information Governance		Risk Owner: Elizabeth Heath		Risk Score
Description Ineffective data governance arrangements lead to 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 – lack of communication 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 to report and investigate potential data breaches FOI review process in place, lessons learnt considered CIGG reviews	3C	

CRR05: Information Governance	Risk Owner: Elizabeth Heath	Risk Score
	Online mandatory training completed by existing staff and by new starters as part of induction	
Mitigating Actions		Target
<p>Ensure individual data sharing arrangements are completed for each activity</p> <p>Ensure Data Protection risks are managed to comply with GDPR - specifically around contracts and other service agreements</p> <p>Continue communications to staff</p> <p>Continue regular training</p> <p>Breaches recorded, monitored and followed up</p> <p>Review resourcing for dealing with FOI' and SAR's</p>		3C

CRR06: ICT		Risk Owner: Margaret Wallace		Risk Score	
Description Ability to deliver public services is severely compromised or reduced due to ICT failure, risk of cyber- security		Causes Outdated or inappropriate policies Poor corporate controls over ICT system Increase investment in maintaining and developing core systems Inadequate contractual arrangements, and poor contract management Over-reliance on third party suppliers and lack of out of hours support Outdated, ineffective or ill-configured ICT infrastructure/ lack of investment in appropriate technologies Ill-configured or inadequate software Limited internal capacity within local IT team to manage increasing IT service delivery expectations Lack of investment in strategic IT resource Loss of program management support to implement large projects 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 Fraud - internal theft of data or sabotage of system/data Insufficient investment reduces ICT capacity and effectiveness National/ regional electric grid failure No back up supply of electricity at Ryedale House		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	PSN compliance health check and certification/ regularly undertaken Robust Business Continuity and Disaster recovery plans Contract audit	DR site available if required Third party support	3C		

CRR06: ICT		Risk Owner: Margaret Wallace	Risk Score
<p>Data is lost or irretrievable/ reputational damage</p> <p>Organisation loses PSN connection Systems are breached</p> <p>Fraud/Financial Impact</p> <p>Damage to reputation</p>	<p>Centralization of IT decision-making and budgets</p> <p>IT policies and procedures</p>		
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. A program of system upgrades, supported by IT, is underway to ensure the Council is operating secure and compliant systems</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> <p>Review our emergency planning arrangements to mitigate if there is a National/ regional electric grid failure. Link with CRR08 - assets on Ryedale response to electrical outage in conjunction with IT to ensure we have a robust infrastructure and response</p> <p>Review of demands for IT third party support for out of hours</p>			2C

CRR06: ICT	Risk Owner: Margaret Wallace	Risk Score
Regular review and updating of WhatsApp group alert systems in liaison with the Communications Team; to inform managers, staff and elected members of any emergency response of IT issues		
Project management support recruited to assist in the program delivery of the strategic IT upgrades		

CRR07: Contracts and Procurement		Risk Owner: Elizabeth Heath		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	
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 Service levels may be impacted negatively by any changes in the Supply Chain or access to workers, particularly in low skilled categories	Contracts Register Quarterly update and review Wider Partnership arrangements Increase the regularity of supplier risk assessments, from annual to bi-annual or quarterly, dependent on the strategic importance of the contract Work with legal services to understand financial and legal the impact of non-compliant contracts or those operating on suppliers' terms and conditions 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	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	

CRR07: Contracts and Procurement		Risk Owner: Elizabeth Heath	Risk Score
Financial risk need to consider if any supply changes will drive up costs of the Goods / Services/Works in the short/medium/long term	factored into budget control and or change in requirements		
	New partnership in place with NYCC to deliver procurement services		
Mitigating Actions			Target
<p>Ensure all staff with authority for procurement and contracts are appropriately trained and are aware of their responsibilities</p> <p>New Procurement and Contract Management Strategy (taking into account health check) and Action Plan in place to ensure that Value of Money is a key requirement and that relevant staff take a commercial approach to purchasing. This also encompasses 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

CRR08: 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 Carbon emissions Local Government reorganisation Government policy – major change of direction Scale of natural disaster e.g. flooding Sustained periods of inclement weather Electrical failure Injury/ death to public or staff Terrorism related act at major event and in crowded places	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	Membership of regional/sub-regional response structures NYLRF Service Level Agreement with NYCC Resilience and Emergencies Team to provide expert support, training and advice (1 day per week) Corporate Emergencies and Resilience Action Plan Corporate Recovery Plan Service Business Continuity Plans	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	5D

CRR08: Major Events/Incidents (non-Covid)		Risk Owner: Margaret Wallace	Risk Score
<p>Missed opportunities</p> <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>Trauma faced by families and work colleagues</p>	<p>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>Participation in civil contingency planning and delivery, e.g. Strategic Recovery Group for York and North Yorkshire</p> <p>Learning from previous incidents</p> <p>Integrated emergency planning meeting</p> <p>Corporate Emergency Planning meeting</p>	<p>Learning form table top exercises/previous events</p>	

CRR08: Major Events/Incidents (non-Covid)	Risk Owner: Margaret Wallace	Risk Score
	<p>Corporate Emergency Planning Training and Exercise Plan</p> <p>Malton, Norton and Old Malton Multi-Agency Emergency Pump Plan</p>	
Mitigating Actions		Target
<p>Networking with relevant groups and other local authorities to ensure we are consistent and sharing and learn from good practice</p> <p>Review civil contingency planning and delivery – considering new legislation, national resilience standards, corporate command structure and out of hours arrangements to include the delivery of an action plan monitored on quarterly basis</p> <p>Link with assets on Ryedale response to electrical outage in conjunction with IT to ensure we have a robust response</p> <p>Continue to develop the new integrated emergency planning meeting (multi-agency) for Ryedale</p> <p>Continue to develop the new corporate emergency planning group with key action plan</p> <p>Provision of specialist emergencies and resilience advice to provide up-to-date guidance and lead progression on emergency planning activity</p> <p>Develop community resilience plans in partnership with parish and town councils</p> <p>Increase awareness of community preparedness in collaboration with other partner agencies including the production of town</p>		<p>4D</p>

CRR09: Job Creation, Economic Sustainability and Growth		Risk Owner: Phillip Spurr		Risk Score
<p>Description</p> <p>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 and international changes (departure from the EU)</p> <p>Failure to secure a devolution deal for York and North Yorkshire, and to take advantage of new funding opportunities, such as the Shared Prosperity Fund</p>		<p>Causes</p> <p>Failure to recognise the scale of the Covid economic shock and respond accordingly</p> <p>Failure to engage business appropriately</p> <p>Failure to recognise the opportunities offered by the new arrangements with the EU</p> <p>Lack of effective strategic planning to address these issues</p> <p>Lack of effective engagement with partner agencies within and beyond Ryedale</p> <p>Failure to engage effectively in shaping a devolution deal</p> <p>Failure to secure sufficient Government funding to address key issues</p> <p>Lack of financial and staffing capacity deliver required actions</p>		<p>Original</p> <p>5D</p>
Consequences	Proactive Controls	Reactive Controls	Current	
<p>Economic underperformance leading to business failures and job losses</p> <p>Adverse social and health consequences</p> <p>Decline/stagnation in district town centres</p> <p>Decline in key economic sectors, including agriculture/manufacturing/services/retail, leisure and hospitality</p> <p>Inability to deliver key infrastructure improvements</p> <p>Inability to deliver low carbon initiatives</p>	<p>New corporate plan reflects opportunities/priorities in each of these areas</p> <p>Provision of ongoing Covid business and town centre support measures</p> <p>Delivery of a comprehensive Ryedale post-Covid economic recovery plan</p> <p>Effective provision of business support – both financial and non-financial</p> <p>Full engagement with district, regional and national partners to deliver economic recovery – e.g. LEP/NYCC/national</p>	<p>Briefing papers for Elected Members and, Strategic Management Board provided on a regular basis on each of these issues</p> <p>Ongoing participation in working groups, fora and partnerships helping to direct these activities</p> <p>Ongoing activity to ensure that strategic plans reflect emerging policy direction</p> <p>Regular performance monitoring, with mitigating actions taken</p> <p>Briefing papers for Elected Members and, Strategic Management Board provided on a regular basis on each of these issues</p>	<p>3D</p>	

CRR09: Job Creation, Economic Sustainability and Growth		Risk Owner: Phillip Spurr	Risk Score
<p>Ryedale becomes an unattractive location for investment, and for people to live, work, invest and visit</p> <p>Increased loss of young people seeking economic opportunities elsewhere</p> <p>Decrease in new employment opportunities and 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>Government/funding agencies</p> <p>Securing of additional investment – e.g. 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 York/North Yorkshire devolution deal negotiations/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>Development of comprehensive Investment Plan to secure Shared Prosperity Fund funding</p> <p>Progress on all actions monitored and reported to Strategic Management</p>	<p>Lobbying of local, regional and national partners to increase support and resources to promote increased economic sustainability</p>	

CRR09: Job Creation, Economic Sustainability and Growth	Risk Owner: Phillip Spurr	Risk Score
	Board and to Members of a regular basis	
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 Covid/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>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 Strategic Management Board</p> <p>Workforce: monitor the potential impact on recruitment and retention of LGR and other issues and address accordingly</p> <p>As part of the budget setting process, consider the impact of Covid and 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>		3C

CRR10: 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>Failure to prevent children and vulnerable adults from being radicalised and drawn into extreme activity</p>		<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> <p>Compulsory training on Prevent had not been delivered during since February 2020 due to Covid-19</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>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>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>	3C

CRR10: Safeguarding		Risk Owner: Margaret Wallace		Risk Score	
<p>Adverse effect on the Council's partners and providers</p> <p>Adverse effect on morale</p> <p>Failure to ensure that vulnerable people are supported through and beyond the Covid emergency</p> <p>Staff may miss opportunities to prevent a vulnerable person from being radicalised or carrying out extreme activities</p>	<p>HR policies updated, and placed on Bob, all staff have read and understood the policy, and this is recorded centrally</p> <p>Training records updated</p> <p>Safeguarding training records being updated centrally</p> <p>Safeguarding performance statistics are included in the quarterly performance reports in line with this Council Plan priority</p> <p>Home Office online training rolled out to all staff as mandatory</p>	<p>Safeguarding action plan/report will report quarterly to SMB and Overview and Scrutiny Committee</p> <p>CTLP (Counter Terrorism Local plan) reviewed annually and information submitted to populate this</p>	Target		
Mitigating Actions					
<p>Quarterly meeting set up and attended by all managers (service reps) 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 having 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>				2B	

CRR10: Safeguarding	Risk Owner: Margaret Wallace	Risk Score
<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 on 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> <p>Quarterly multi-agency Prevent meetings and annual action plan</p> <p>New domestic abuse legislation to be implemented and integrated into Ryedale services</p>		

CRR11: Local Government Reorganisation		Risk Owner: Stacey Burlet		Risk Score
<p>Description</p> <p>Failure to plan for local government reorganisation, operate effectively during reorganisation, and plan for and manage the transition to a new local authority, resulting in failure to deliver against the strategic/corporate priorities in the Council Plan</p>		<p>Causes</p> <p>Challenging and inflexible timeline set by Government directive and legislation</p> <p>Insufficient staffing resources</p> <p>Ineffective collaboration between authorities, resulting in lack of clarity or confidence in strategic direction</p> <p>Insufficient capacity to support implementation expectations for resourcing</p> <p>Workforce instability / loss of staff</p> <p>Lack of adequate training and development programmes, support and guidance for members and officers</p> <p>Reduction in quality of democratic representation / decision-making</p> <p>Loss of local knowledge and expertise</p> <p>Disruption to existing service delivery</p> <p>Anticipated benefits may not be realised</p> <p>Potential non-compliance with data regulations and cyber-attacks</p> <p>Lack of clear political direction resulting in political instability</p> <p>Weakened Trade Union/industrial relations</p> <p>Financial cost to RDC</p> <p>Service failure</p> <p>Lack of / poor governance</p> <p>Unforeseen spread of Covid-19 variants</p> <p>Increasing impact of LGR proposals on staff turnover, staff resilience and delivery of services</p>		Original
				5E
Consequences	Proactive Controls	Reactive Controls	Current	
<p>Reputational damage / poor reputation among stakeholders, communities and partners</p> <p>Lack of productivity / reduced performance / service failure</p> <p>Risk of prosecution and financial penalties for the organisation</p>	<p>Staff Q&As and communications (email, intranet); including CX-led weekly meeting</p> <p>Elected Member communications/briefings and Group Leader Engagement</p> <p>Regular Management Board programme determines officer guidance and advice on corporate and strategic matters</p>	<p>Weekly staff meeting updates at a Departmental level</p> <p>Repeat red and amber performance ratings are investigated and addressed where possible, with appropriate elected member scrutiny</p>	3C	

CRR11: Local Government Reorganisation		Risk Owner: Stacey Burlet	Risk Score
<p>Weakened relationships with other key stakeholders</p> <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 resulting in poor leadership performance and lack of clear direction</p> <p>Reduced budgets/capital due to increased spend prior to reorganisation</p> <p>Increased levels of staff sickness and fatigue</p> <p>Low staff morale and motivation</p> <p>Demand overwhelms capacity given the range of strategic and operational expectations / actions that need to be fulfilled throughout the LGR transition – e.g. service continuity, Omicron, winter management, loss of staff</p>	<p>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</p> <p>CX involvement in Government and North Yorkshire wide CX meetings; Chair of P&R involvement in political equivalent</p> <p>Clear communication on transferring terms and conditions and any associated implications</p> <p>NY website is accessible to all</p> <p>Individual work streams include subject specialist</p> <p>In kind and direct cost tracking is taking place (includes backfilling and specific invoices)</p> <p>Information Governance and Data</p> <p>Protection Rights Policy</p> <p>Equalities in Employment Policy</p> <p>Redeployment and Redundancy Policy and procedure</p>	<p>Targeted interventions as required to address complaints trends</p> <p>Mutual aid being established for enacted as required during LGR transition</p>	

CRR11: Local Government Reorganisation	Risk Owner: Stacey Burlet	Risk Score
	<p>Recruitment Policy, Framework and Guidelines including Safer Recruitment Council Plan 2020-24 articulates key delivery priorities up to 31 March 2023</p> <p>Strategy and performance management team in place to report on performance trends via quarterly and annual reporting</p> <p>Annual report and quarterly performance monitoring</p> <p>Complaints and compliments monitoring</p>	
Mitigating Actions		Target
<p>The 2023 implementation timeline has appropriate governance and implementation arrangements are in in place</p> <p>Additional resource is being reviewed following recommendations from subject specialists in conjunction with work stream demands</p> <p>Defined work stream meetings taking place on a regular basis involving expert leads across all service areas, with representation from all North Yorkshire councils</p> <p>Significant amount of communications and engagement with staff is occurring 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 are playing a key role in the design of new services/transition arrangements to ensure service continuity from day 1</p> <p>There is a process in place for significant spending to be signed off through continuing authority governance processes and within RDC</p> <p>Ongoing tracking of benefits realised occurs via the NYCC Programme Office</p>		3C

CRR11: Local Government Reorganisation	Risk Owner: Stacey Burlet	Risk Score
<p>Quarterly performance monitoring is ongoing, with reports presented at Policy and Resources Committee throughout the year</p> <p>An annual report of progress against the Council Plan during 2021-22 is in progress, due to be presented to P&R in June 2022</p> <p>Refresh of the Council Plan is progressing to determine key delivery priorities up to 31 March 2023 and changes in political leadership</p> <p>Coordination team meetings are held each week to determine capacity concerns</p>		