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<b>REPORT TO:</b>	<b>OVERVIEW AND SCRUTINY</b>
<b>DATE:</b>	<b>16 FEBRUARY 2023</b>
<b>REPORT OF THE</b>	<b>PROGRAMME DIRECTOR PEOPLE AND RESOURCES MARGARET WALLACE</b>
<b>TITLE OF REPORT:</b>	<b>CORPORATE RISK REGISTER UPDATE</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

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## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

1.1 This report provides an update on the management of risk via the corporate risk register. The report is a follow up to the review completed in September and incorporates amendments to risks, most notably around mitigating actions, proactive controls and reactive controls. There have been no changes to risk scores (the original, current and target scores) as part of this review.

### **2.0 RECOMMENDATION**

2.1 It is recommended that:

- (i) Overview and Scrutiny Committee approve the revised risk register.

### **3.0 REASON FOR RECOMMENDATION**

3.1 RDC has a comprehensive corporate risk register that details 11 significant risks that could impact the business.

3.2 Risks are scored by assessing likelihood and impact, and calculated on a 5x5 matrix that evaluates the likelihood of a risk occurring as between 'very low' to 'almost certain' and the impact as being 'low' to 'disaster'.

3.3 Each risk is assigned an owner who is a member of SMB, and therefore ultimately responsible for ensuring that the risk is appropriately managed and sufficient safeguards and controls are in place.

3.4 Regular reviews of the risk register are completed; with the previous one presented to Overview and Scrutiny Committee on the 28<sup>th</sup> September 2022.

## **4.0 SIGNIFICANT RISKS**

- 4.1 The risk register identifies the main corporate risks that affect the business. These include standard risk management areas such as Health and Safety; Financial Management; Major events / incidents and safeguarding alongside emerging (and waning risks) of Covid-19 and Local Government Reorganisation.
- 4.2 The register was last reviewed in September 2022 and this review updates and consolidates the progress made in managing risks as documented previously.
- 4.3 Failure to effectively review and update the risk register will lead to increased exposure to the business and potentially impact on the health and safety of colleagues, customers, partners and contractors alongside jeopardising the financial viability of the business or lead to significant reputational damage.

## **5.0 POLICY CONTEXT AND CONSULTATION**

- 5.1 The risk register details all corporate risks across the business. Most risks have either associated policies or action plans attached to them to help ensure they are managed in a compliant manner and services adhere to any required legislation or regulation.
- 5.2 In some cases consultation is undertaken in order to manage risk; for example the management of CRR02 – Health and Safety is predicated on the work of the Corporate Health and Safety Working Group; whilst CRR11 – Local Government Reorganisation includes significant elements of consultation including pulse surveys and opportunities for colleagues to input into work streams in order to define the work of the future North Yorkshire Council.

## **REPORT**

### **6.0 REPORT DETAILS**

- 6.1 Each risk has undergone a review by the risk owner, supported by subject matter experts and service leads where appropriate. This report will highlight the key changes taking place across each of the 11 corporate risks.
- 6.2 It must be recognised that there has been very little change to the corporate risk register when compared to the previous report; particularly concerning the current risk and target risk scores. Items linked to political instability were incorporated into the review completed in September and remain relevant.
- 6.2 Most amendments to the register reflect additional work that has been undertaken in specific areas. These will be detailed below.
- 6.3 CRR01 – COVID-19 & Respiratory Illness. This risk has been updated to incorporate the increased risk posed by respiratory illness in the post-pandemic world; especially in light of a severe seasonal flu strain that appears to be aggressive and able to exploit a natural susceptibility to the illness following the last few years Covid restrictions which also successfully curbed flu. Whilst living with Covid-19 has become the ‘new norm’ the risk posed by the virus does remain with the World Health Organisation tracking a

number of emerging variants including a new Omicron subvariant (XBB.1.5) much like previous variants this is being flagged due to its increased transmissibility with the potential to spread almost 40% quicker than the current dominant strain. As yet it doesn't appear to pose any greater level of risk to the individual. Consequently, the risk rating and target remain the same as per the September update and it remains prudent to keep this risk on the register for the foreseeable future.

- 6.4 CRR02 – Health and Safety. This has remained as 3D on the risk matrix (Likely / Medium impact) despite significant work being undertaken to map and assess the extent of risk assessments across the business and ensuring they are in date and remain reflective of current practice, in particular around high risk areas. The creation of this register and the completion of the risk assessment review is the one action due to be closed this quarter on the Health and Safety Action Plan, which remains up to date, and 100% of actions have been closed within target time throughout the year. In addition a number of actions related to the premises managed by RDC have been closed and significant progress to ensuring fire risk assessments and property inspections are completed. Work to address any identified issues remains ongoing.
- 6.5 CRR03 – Staffing Resilience and Capacity. This risk has remained as 4C (Very Likely / Medium Impact); it is also felt that this would reflect the risk posed to the business should any staffing impacts be identified due to merger (such as increased staff turnover).
- 6.6 CRR04 – Financial Management. There are no notable changes to this risk.
- 6.7 CRR05 – Information Governance. Whilst the current risk and target risk are unchanged, there have been some changes to the proactive controls and reactive controls. The work to improve Freedom of Information (FOI) and Subject Access Requests (SAR) processes has seen these items move from reactive controls to proactive controls; highlight a greater degree of control in the administration of these requests; alongside a more centralised and corporate approach to their management. Finally the owner has been updated to reflect the close alignment of information governance with ICT and this is now owned by Palbinder Mann (Service Manager Corporate Resources – Place)
- 6.8 CRR06- ICT. Again the risk score and target risk are unchanged with just one amendment within the mitigating actions section which highlights the ongoing work to reduce risk associated with ICT failures through the merger via the LGR workstream.
- 6.9 CRR07 – Contracts and Procurement. This section remains unchanged following the September review.
- 6.10 CRR08 – Major Events / Incidents (non-Covid). This section is also unchanged. It remains an area of significant concern on the basis that the specifics of a major event being unknown. Work remains ongoing with the Local Resilience Forum to manage this risk and the impact of LGR will see changes to the roles of local gold, silver and bronze officers.
- 6.11 CRR09 – Job Creation, Economic Sustainability and Growth. This area saw one of the most notable changes in September on the basis of the economic crisis facing the country. It is felt this is still applicable, however no further revisions to the score have taken place. The most notable changes have seen the removal of Covid references, which is no longer seen to be a specific consideration in relation to this corporate risk.

- 6.12 CRR10 – Safeguarding. This area has remained unchanged.
- 6.13 CRR11 – Local Government Reorganisation. RDC remains in a positive position in relation to the risks posed by LGR. Regular briefings for staff are provided which include updates from the workstreams and staff are generally responding positively to the pulse surveys. Events to share changes to Ts&Cs have been well attended and resources remain available to support teams with any increasing workloads and pressures should it be needed.

## **7.0 IMPLICATIONS**

7.1 The following implications have been identified:

- a) Financial
- Through the budget setting process any additional costs have been identified. In the case of LGR a dedicated budget has been created to support the business.
- b) Legal
- Failure to manage risks effectively could lead to non-compliance. By identifying key legislation and regulation and having a robust policy framework linked to risk that these can be overcome.
- c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental, Crime & Disorder)
- Any relevant concerns around these wider issues would be covered within any associated action plans or policies linked to the risks themselves.

## **8.0 NEXT STEPS**

8.1 It is proposed that revised risk register is approved.

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### **Background Papers:**

Appendix A – Corporate Risk Register