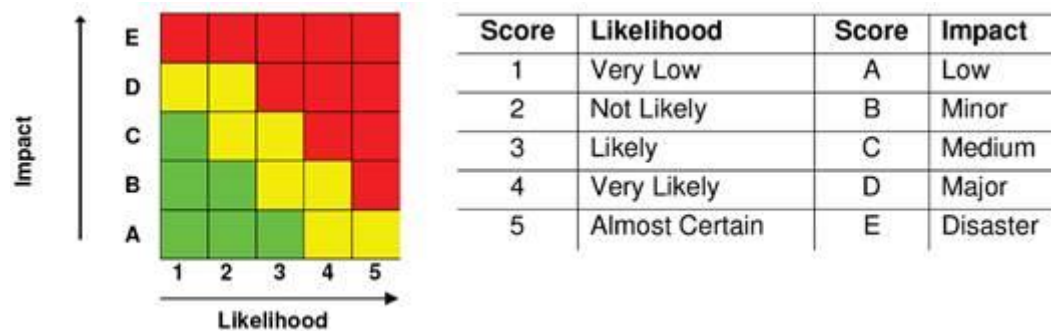


## RYEDALE DISTRICT COUNCIL: CORPORATE RISK REGISTER

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CRR01: Covid – 19 & Respiratory Illness	Risk Owner: Stacey Burlet	Risk Score
<p>Description</p> <p><b>In the post-pandemic world, there is an increasing acknowledgement of the impact both Covid and other respiratory illness can have on business. Given the increase in cases and severity of seasonal flu this has been incorporated into the risk due to the similar nature of the controls.</b></p>	<p>Causes</p> <p><b>Spread of virus/mutations other respiratory illness cannot fully be controlled</b></p> <p><b>National spike in new Covid and Flu infections during the Autumn/Winter months e.g., BA.4 and BA.5 Omicron mutations</b></p> <p><b>Partnership response means that multiple bodies have overlapping accountabilities and responsibilities</b></p> <p><b>Policy direction may mean that the district council has additional accountabilities and responsibilities to deliver in addition to LGR and BAU; frequently determined at short notice</b></p> <p><b>Fast paced and constantly changing policy environment necessitating the development of immediate procedures as standardised policies and procedures may not be fit for purpose</b></p> <p><b>Lack of understanding, buy in and consistency across the Council</b></p> <p><b>Inadequate recording</b></p> <p><b>Lack of adequate training</b></p> <p><b>Subcontractors and commissioned organisations fail / cannot fulfil agreed obligations</b></p> <p><b>Economic recession arising from the consequences of Covid – 19 with subsequent local business failures and job losses</b></p> <p><b>Staff sickness / isolation and the ability to deliver critical services/ longer term objectives as set out in the Council Plan / the LGR programme</b></p> <p><b>Failure to recognise the scale of the Covid shock upon the operations of the Council and its staff and respond accordingly, including long-term impact</b></p> <p><b>Vulnerable residents not being able to access support</b></p> <p><b>Lack of sustainability over the longer term across the voluntary and community sector</b></p> <p><b>Failure to secure sufficient Government funding to address key issues</b></p> <p><b>Lack of financial and staffing capacity deliver required actions</b></p> <p><b>Lack of effective strategic planning to address response and recovery</b></p> <p><b>Lack of effective engagement with partner agencies within and beyond Ryedale</b></p>	<p>Original</p> <p><b>5E</b></p>

CRR01: Covid – 19 & Respiratory Illness		Risk Owner: Stacey Burlet		Risk Score
Consequences	Proactive Controls	Reactive Controls	Current	
<p><b>Rate and spread of Covid-19 mutations and respiratory illnesses increases locally, nationally and globally</b></p> <p><b>Increased deaths and/or long-term health conditions</b></p> <p><b>Increased levels of poverty, job losses, business failure and homelessness across the district</b></p> <p><b>Failure to plan for and deliver a strong post-Covid recovery</b></p> <p><b>Failure to ensure that vulnerable people are supported through and beyond the Covid emergency</b></p> <p><b>Decline in community resilience</b></p> <p><b>Decline in physical and mental health of residents</b></p> <p><b>Pressures resulting in reduced voluntary and community sector sustainability</b></p> <p><b>Potential for community tensions and subsequent increase in anti-social behaviour</b></p> <p><b>Performance reduction / failures as a consequence of increased demands on</b></p>	<p><b>Full engagement with district, regional and national partners to support COVID / flu and other respiratory illness response and recovery, including national Government and funding agencies and multi-agency locality focused activity</b></p> <p><b>Advice, guidance and proactive support provided to attractions, businesses and communities by a range of Council services</b></p> <p><b>Proactive engagement on mutual aid issues</b></p> <p><b>Plans for response and recovery are in place and operational.</b></p> <p><b>RDC employee procedures and arrangements are in place including personal and workplace-based risk assessments; these are revisited in line with changing Government guidance</b></p> <p><b>Additional capacity sourced and implemented where required</b></p> <p><b>Workforce access to health assured support</b></p> <p><b>Staff meetings with the CX, supplemented by email and intranet-based communications, which includes updates in relation to COVID</b></p>	<p><b>Appropriate control measures as required are put in place through Head of Service risk assessments to promote health and safety</b></p> <p><b>Facilitation of physical and virtual meetings in accordance with virus prevalence</b></p> <p><b>Briefings and communications for Elected Members, Strategic Management Board, and all staff as needed</b></p> <p><b>Ongoing participation in district, regional and national working groups when required (i.e., in relation to outbreak management) and recovery</b></p> <p><b>Provision of budgets to ensure appropriate resources are in place to deliver key services following Section 151 advice</b></p> <p><b>Regular performance monitoring, with mitigating actions taken</b></p> <p><b>Report on an ongoing basis to central Government</b></p> <p><b>Targeted interventions are being undertaken where required by Environmental Health Officers</b></p>	<b>4D</b>	

CRR01: Covid – 19 & Respiratory Illness		Risk Owner: Stacey Burlet	Risk Score
<p><b>Council services from customers and businesses</b></p> <p><b>Failure to deliver key Council services / longer term Council Plan objectives / LGR</b></p> <p><b>Adverse social and health consequences for staff leading to staff absence/reduced productivity</b></p> <p><b>Reputational risks resulting in a loss of public confidence in the Council and a potential increase in the number of complaints received</b></p> <p><b>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) Loss of revenue to the Council and use of reserves to offset the financial consequences of Covid -19</b></p> <p><b>Increase in cases of seasonal flu and other respiratory illness resulting in pressures on workforce due to increased absences</b></p>	<p><b>Additional support for the voluntary and community sector including the Community Connect partnership support programme</b></p> <p><b>Participation in regional and national partnerships to identify and support the district’s most vulnerable residents</b></p> <p><b>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</b></p> <p><b>Update of Business Continuity Plans to take into account ongoing Covid/post-Covid demands</b></p> <p><b>Actively promote Covid vaccination programmes and provide details of where/how to book appointments for residents and staff</b></p> <p><b>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</b></p> <p><b>Appropriate plans in place to ensure health and safety in all Council premises for staff</b></p>	<p><b>COVID - 19 actions are proactively and reactively addressed as required following guidance and, on occasions, instruction for Government and the Director of Public Health</b></p>	

CRR01: Covid – 19 & Respiratory Illness	Risk Owner: Stacey Burlet	Risk Score
	and visitors, including when office-based working at RDC facilities takes place	
Mitigating Actions		Target
<p><b>Proactive monitoring of contraction rates</b></p> <p><b>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</b></p> <p><b>Continual delivery of effective communications for businesses/Ryedale residents</b></p> <p><b>The Section 151 Officer has assessed the cost of post-Covid recovery work to the end of Q4 2021/22. Financial impacts associated with Omicron and any mutations e.g., BA.4 and BA.5 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</b></p> <p><b>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</b></p> <p><b>Performance monitoring of risk management actions contained in service delivery plans in line with quarterly corporate performance reporting</b></p> <p><b>Effective complaints monitoring and analysis to establish trends and actions required to reduce the number of complaints received</b></p>		3C


CRR02: Health and Safety		Risk Owner: Margaret Wallace		Risk Score
Description <b>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</b>		Causes <b>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</b>		Original <b>5E</b>
Consequences	Proactive Controls	Reactive Controls	Current	
<b>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 Lack of containment of public health emergencies Covid outbreak / lack of staff and reputational damage</b>	<b>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</b>	<b>Accident reporting procedure  Annual health and safety report  Daily COVID-secure workplace monitoring</b>	<b>3C</b>	

CRR02: Health and Safety	Risk Owner: Margaret Wallace	Risk Score
	<p><b>Democratic meetings policy and risk-assessments</b></p> <p><b>Monitor and review the new working arrangements at Ryedale House to ensure minimal risk of Covid spread/infection</b></p>	
Mitigating Actions		Target
<p><b>All staff required to confirm understanding of policy on annual basis</b></p> <p><b>Performance monitoring of health and safety plan actions and targets is embedded in the Corporate Resources (People) service delivery plan in line with quarterly corporate performance reporting</b></p> <p><b>Provision of specialist health and safety advice to provide up-to-date guidance and lead progression on health and safety activity</b></p> <p><b>Communications rolled out across staffing and employee groups and on intranet</b></p> <p><b>Regular meetings with UNISON and service managers on COVID-secure workplace</b></p> <p><b>Targeted intervention programme in place in Waste and Environmental Services using additional capacity</b></p> <p><b>Ongoing health and Safety audit of facilities</b></p> <p><b>Implementation of COVID guidance/instruction from government and public health</b></p> <p><b>Review and refresh of staff trained in mental health first aid, emergency first aid and fire warden responsibilities</b></p> <p><b>Role of BDO reviewed to track if first aiders and fire wardens are on site</b></p> <p><b>Register of risk assessments (including owners and review dates / periods) created to give corporate overview of compliance; ensuring they remain up to date.</b></p>		<p><b>3B</b></p>

CRR03: Staffing Resilience and Capacity		Risk Owner: Haroon Rashid	Risk Score
Description <b>Lack of resilience or capacity to achieve strategic and/or operational objectives</b>		Causes <b>Lack of staffing resource to support delivery against the range of strategic and operational objectives and demands</b> <b>Lack of staff development to support succession planning, retention and successful delivery, including LGR transition</b> <b>Inadequate budget to fund an appropriate staffing structure / LGR implementation</b> <b>Poor reputation as an employer / lack of perceived continuity as an employer given LGR</b> <b>Failure to recruit, particularly in specialist areas where the market is highly competitive</b> <b>Recruitment and retention difficulties particularly around roles which involve travelling around a large rural area due to the high rise in the cost of fuel/living</b> <b>Lack of or inadequate workforce strategy including failure to take advice to inform planning, delivery or decision-making</b> <b>Covid-19 pandemic, high turnover across the sector and significant cost of living rises impact on labour market</b> <b>Covid-19 long Covid implications</b> <b>Unprecedented circumstances requiring the reallocation of resources to meet urgent, reactive need e.g. COVID outbreak, natural emergency, BREXIT, LGR</b> <b>Increasing impact of LGR proposals on staff turnover, staff resilience and morale</b> <b>Loss of senior staff prior to vesting date of the new North Yorkshire Council</b> <b>Sensitivity around elected member / officer relationships</b>	Original <b>5D</b>
Consequences	Proactive Controls	Reactive Controls	Current



CRR03: Staffing Resilience and Capacity		Risk Owner: Haroon Rashid	Risk Score
<p><b>Customer and local resident detriment</b></p> <p><b>Service failure</b></p> <p><b>Special measures if statutory or legislative expectations are unmet</b></p> <p><b>Poor customer satisfaction, leading to complaints and requests for compensation</b></p> <p><b>Low staff morale</b></p> <p><b>Poor productivity among staff</b></p> <p><b>Increasing sickness levels</b></p> <p><b>Higher staff turnover and loss of talent</b></p> <p><b>LGO decisions</b></p> <p><b>Damage to reputation</b></p> <p><b>Staff wellbeing suffers</b></p> <p><b>Legal action</b></p> <p><b>Financial penalties</b></p> <p><b>Failure to meet legislative requirements, election and electoral register responsibilities</b></p>	<p><b>On-going proactive approach to recruitment and resourcing to address current 'gaps' in establishment</b></p> <p><b>Learning Zone access for all employees</b></p> <p><b>Job evaluation process in place</b></p> <p><b>Financial monitoring and reporting - including a new approach to budget strategy development and oversight</b></p> <p><b>Regular CX, SMB, manager &amp; staff communication and engagement sessions taking place to ensure that the pulse of the organisation is taken and responded to</b></p> <p><b>Regular surveys – ensuring views of workforce are captured and an action plan put in place to address concerns</b></p> <p><b>Graduate trainees and apprenticeship programmes in place</b></p> <p><b>HR/OD service ensures that organisational development and the employee journey is increasingly focused upon</b></p> <p><b>Elections Risk Register</b></p> <p><b>All staff complete mandatory training requirements, with accelerated levels for managers</b></p>	<p><b>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</b></p> <p><b>Re-prioritisation of service delivery</b></p> <p><b>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)</b></p> <p><b>Overtime – exceptional and by agreement</b></p> <p><b>Service Risk Registers incorporate mitigations for resilience and capacity risks</b></p> <p><b>Zero tolerance approach includes acting on the speak out policy as needed and exit interview intelligence</b></p> <p><b>Additional control measures as identified / required to ensure COVID secure workplaces and service delivery</b></p>	<p><b>5C</b></p>

CRR03: Staffing Resilience and Capacity	Risk Owner: Haroon Rashid	Risk Score
<p><b>Increasing levels of sickness absence as a result of COVID-19 contraction rates</b></p> <p><b>Inability to meet increased service demand as a consequence of additional accountabilities and increased service demand brought about by COVID -19</b></p>	<p><b>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</b></p> <p><b>Increased staffing capacity investment in place endorsed through budget setting processes</b></p> <p><b>People and Culture Plan reviewed and rolled out with ongoing assessment of effectiveness</b></p> <p><b>Organisational Development programme initiated with manager &amp; staff involvement as appropriate</b></p> <p><b>New Ways of Working plans implemented, with ongoing reviews – service specific</b></p> <p><b>New collective agreement and revised pay, terms and conditions package implemented for Grade 10 and below directly employed by the organisation</b></p> <p><b>Regular one to one meetings and appraisal process linked to LGR decision, service plans and council plan delivery</b></p> <p><b>Delivery of HR/OD actions in the corporate delivery programme of the Council Plan</b></p>	

CRR03: Staffing Resilience and Capacity	Risk Owner: Haroon Rashid	Risk Score
	<p><b>Revised Council Plan and associated performance management framework in place to determine strategic objectives and the delivery plan for achieving them</b></p> <p><b>New partnership arrangement in place for Procurement support</b></p> <p><b>Adoption of new policies and procedures such as zero tolerance</b></p> <p><b>Budget strategy development, financial monitoring and reporting includes a strong focus on workforce related issues</b></p> <p><b>Covid 19 procedures and arrangements reviewed regularly</b></p>	
Mitigating Actions		Target
<p><b>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 February/March 2022 and will be reviewed every 6 months</b></p> <p><b>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</b></p> <p><b>Review of commissioned and third party arrangements and obligations</b></p> <p><b>New partnership arrangement in place for legal support</b></p> <p><b>Rolling programme of review of policies and procedures underway to ensure they are fit for purpose</b></p> <p><b>Review of Waste Services currently taking place to ensure the operating model is fit for purpose</b></p>		<b>4C</b>

CRR04: Financial Management		Risk Owner: Anton Hodge		Risk Score
Description <b>Failure to have adequate financial management within the Council</b>		Causes <b>Lack of data or poor system output</b> <b>Poor financial planning and spending</b> <b>Finance staff capacity</b> <b>Political/management perception</b> <b>Lack of informed decision making</b> <b>Lack of confidence, engagement, experience and awareness within managers across the council</b> <b>Unforeseen financial pressures resulting from Covid-19 and associated variants</b> <b>Funding cuts</b> <b>Political environment changes</b> <b>Economic – high inflation/increased demand</b> <b>Pressure to spend funds ahead of LGR without due diligence</b>		Original <b>5E</b>
Consequences	Proactive Controls	Reactive Controls	Current	
<b>Over or underspend</b> <b>Inability to set a balanced budget</b> <b>Lack of investment</b> <b>Damage to reputation</b> <b>Qualified audits</b> <b>Lack of awareness of resources, leading to impact on performance (spending in 'wrong' areas)</b> <b>Inability to deliver Council Plan priorities and statutory functions</b>	<b>Budget monitoring and reporting</b> <b>Continuous cycle of Root and branch reviews</b> <b>External support</b> <b>Financial Performance Reports</b> <b>Budget Managers' access to Pentana</b> <b>Financial Strategy</b> <b>Capital Plan</b> <b>Treasury management</b>	<b>Budget monitoring and reporting, including capital</b> <b>Review of Audit arrangements to ensure correct focus on areas of risk</b> <b>Prioritisation of funding/use of reserves</b> <b>In-year review to ascertain impact of Covid and assess reliance on reserves to ensure a balanced outturn for 2022-23</b> <b>Work with partners and other LAs to determine medium term impact of Covid on income streams and build into refreshed Financial Strategy</b>	<b>3C</b>	

CRR04: Financial Management		Risk Owner: Anton Hodge	Risk Score
<p><b>Possible external intervention</b></p> <p><b>Weak long-term planning</b></p> <p><b>Significant political change</b></p> <p><b>Unable to meet financial commitments (short/medium/long term)</b></p> <p><b>Reporting of incorrect financial information for LGR</b></p> <p><b>Not ensuring that committed funds are spent in accordance with timescales and deadlines</b></p>	<p><b>Report to committees</b></p> <p><b>Review and update reports on financial performance</b></p> <p><b>Review capacity of financial support</b></p> <p><b>More member involvement and transparency in Financial Strategy and Capital Plan</b></p> <p><b>Regular updating and reporting of other funds held for specific purposes, e.g. reserves, s106, CIL</b></p>	<p><b>Work with partners and other LAs to determine medium term impact of LGR on income streams and build into refreshed Financial Strategy</b></p>	
Mitigating Actions			Target
<p><b>Additional external support where appropriate</b></p> <p><b>Deliver training/agree expectations of role of budget managers</b></p> <p><b>Use of Benchmarking – including financial and service performance</b></p> <p><b>Review all financial procedures including contract procedures</b></p> <p><b>Focussed reviews on areas of budget vulnerability, including overspends and where savings are expected</b></p> <p><b>Work with service managers to ensure required savings are agreed and understood</b></p> <p><b>Ensure members are kept informed of spending plans and impact on reserves</b></p>			<b>2B</b>

CRR04: Financial Management	Risk Owner: Anton Hodge	Risk Score
<p><b>Set out financial procedures relating to LGR, including any impact on decision-making processes and ensure budget managers are aware of these</b></p> <p><b>Monitoring of financial summaries, where relevant, is included in all service delivery plans in line with quarterly corporate performance reporting</b></p> <p><b>Ensure internal audit reports are followed up and action plans agreed</b></p> <p><b>Ensure budget managers are aware of their role in budget process for the new council for 2023/24</b></p> <p><b>Ensure any new projects in 2022/23, to spend outside approved budget have full business cases and that due diligence is done on the benefits and risks ahead</b></p>		

CRR05: Information Governance		Risk Owner: Palbinder Mann		Risk Score
Description <b>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</b>		Causes <b>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 Ineffective/out of date policies</b>		Original <b>5E</b>
Consequences	Proactive Controls	Reactive Controls	Current	
<b>Service user detriment</b>  <b>Loss or inappropriate use of personal data and information</b>  <b>Service failure</b>  <b>Special measures</b>  <b>Poor customer and/or staff satisfaction</b>  <b>Staff turnover</b>  <b>ICO decisions</b>  <b>LGO decisions</b>  <b>Damage to reputation</b>  <b>Staff wellbeing suffers</b>  <b>Legal action</b>	<b>Training, policies in place, regular CIGG meetings, access to expert advice, monitoring systems and audits, information asset register and privacy notices</b>  <b>DPIA template in place</b> <b>Continue to emphasise personal responsibility of staff for all information and consider disciplinary action against breaches</b>  <b>Continue to review information asset registers</b>  <b>Ensure individual data sharing arrangements are completed for each activity</b>  <b>Ensure Data Protection risks are managed to comply with GDPR</b>  <b>Review of FOI and SAR process</b>	<b>Data breach process in place to report and investigate potential data breaches</b>  <b>CIGG reviews</b>  <b>Regular discussion with Data Protection Officer (Veritau)</b>	<b>3C</b>	

CRR05: Information Governance		Risk Owner: Palbinder Mann	Risk Score
Data breaches	Online mandatory training completed by existing staff and by new starters as part of induction		
Financial penalties			
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 FOIs and SARs</p> <p>Regular liaison with Veritau</p>			3C



CRR06: ICT		Risk Owner: Margaret Wallace		Risk Score	
Description <b>Ability to deliver public services is severely compromised or reduced due to ICT failure, risk of cyber- security</b>		Causes <b>Outdated or inappropriate policies</b> <b>Poor corporate controls over ICT system</b> <b>Failure to invest in maintaining and developing core systems</b> <b>Inadequate contractual arrangements, and poor contract management</b> <b>Over-reliance on third party suppliers and lack of out of hours support</b> <b>Outdated, ineffective or ill-configured ICT infrastructure/ lack of investment in appropriate technologies</b> <b>Ill-configured or inadequate software</b> <b>Limited internal capacity within local IT team to manage increasing IT service delivery expectations</b> <b>Lack of investment in strategic IT resource</b> <b>Loss of program management support to implement large projects</b> <b>Lack of adequate training in effective system use</b> <b>Lack of/inadequate equipment</b> <b>Inadequate disaster recovery planning</b> <b>System security is compromised through inadequate security controls or cyber attack</b> <b>Fraud - internal theft of data or sabotage of system/data</b> <b>Insufficient investment reduces ICT capacity and effectiveness</b> <b>National/ regional electric grid failure</b> <b>No back up supply of electricity at Ryedale House</b>		Original <b>5E</b>	
Consequences		Proactive Controls		Reactive Controls	
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		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  <b>3C</b>	

CRR06: ICT		Risk Owner: Margaret Wallace	Risk Score
<p><b>Data is lost or irretrievable</b></p> <p><b>Organisation loses PSN connection</b></p> <p><b>Systems are breached</b></p> <p><b>Fraud or Financial Impact/ICO action/fine</b></p> <p><b>Damage to reputation</b></p>	<p><b>Centralization of IT decision-making and budgets</b></p> <p><b>IT policies, procedures and mandatory/regular training</b></p>		
Mitigating Actions			Target
<p><b>External service review and reporting</b></p> <p><b>Annual third party health check and implementation of actions</b></p> <p><b>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</b></p> <p><b>Ongoing investment in cloud and SaaS, including Microsoft Office 365 rollout across the organisation</b></p> <p><b>Training and development of staff in appropriate use of systems and software, including security</b></p> <p><b>Links with National Cyber Security Centre</b></p> <p><b>Testing of DR arrangements</b></p> <p><b>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</b></p> <p><b>Review of demands for IT third party support for out of hours</b></p> <p><b>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</b></p>			<b>2C</b>

CRR06: ICT	Risk Owner: Margaret Wallace	Risk Score
<b>Project management support recruited to assist in the program delivery of the strategic IT upgrades</b> <b>Regular discussion with LGR IT workstream to ensure the authority is ready for the transition into the new unitary Council from an IT perspective.</b>		

CRR07: Contracts and Procurement		Risk Owner: Elizabeth Heath		Risk Score
Description <b>Failure to ensure that effective procurement and contract management is carried out across the Council Brexit risk to procurement and supply chain</b>		Causes <b>Lack of awareness and ownership across the Council Outdated policies and procedures The UK leaving the EU (Brexit) with no trading deals in place</b>		Original <b>5D</b>
Consequences		Proactive Controls	Reactive Controls	Current
<b>Inability to deliver Value for Money</b>  <b>Risk of breaking procurement law and regulation</b>  <b>Financial penalties</b>  <b>Less effective contracts/contract management</b>  <b>Missed opportunities</b>  <b>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</b>  <b>Existing supply contracts may be impacted by changes in regulation, or legal requirements</b>  <b>Assurance of Supply - risk that a complete failure in supply of the goods / service (e.g. Carillion) from key suppliers could be felt</b>		<b>Contracts Register</b>  <b>Quarterly update and review</b>  <b>Wider Partnership arrangements</b>  <b>Increase the regularity of supplier risk assessments, from annual to bi-annual or quarterly, dependent on the strategic importance of the contract</b>  <b>Work with legal services to understand financial and legal the impact of non-compliant contracts or those operating on suppliers' terms and conditions</b>  <b>Early engagement with supply markets when we are looking to tender</b>  <b>Review of the services the council delivers to assess the potential impact on specific supply chains</b>  <b>Early supplier engagement should identify areas of cost increase that need to be</b>	<b>Review of expired contracts</b>  <b>Retrospective permissions applied for</b>  <b>Review of projects due out to the market at the time the UK leaves the EU</b>	<b>3C</b>

CRR07: Contracts and Procurement		Risk Owner: Elizabeth Heath	Risk Score
<p>Service levels may be impacted negatively by any changes in the Supply Chain or access to workers, particularly in low skilled categories</p> <p>Financial risk - need to consider if any supply changes/cost of living rises 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>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> <p>Set priorities for procurement based on local strategic priorities, ensuring the Government’s strategic priorities are in line with what the council is seeking from procurement (as set out in the National Procurement Policy Statement).</p> <p>Procurement Bill (Queens Speech, May 2022) - embrace the proposal for clearer arrangements for local councils to buy at pace if necessary and support the new exclusion rules, to tackle unacceptable behaviour and poor supplier performance, considering how this would work effectively for the council.</p>			<p><b>2B</b></p>

CRR07: Contracts and Procurement	Risk Owner: Elizabeth Heath	Risk Score
<b>Procurement Bill (Queens Speech, May 2022) - embrace the proposal for clearer arrangements for local councils to buy at pace if necessary and support the new exclusion rules, to tackle unacceptable behaviour and poor supplier performance, considering how this would work effectively for the council.</b>		

CRR08: Major Events/Incidents (non-Covid)		Risk Owner: Margaret Wallace	Risk Score
Description <b>Failure to respond to major regional, national or global events and incidents – and to learn from previous incidents</b>		Causes <b>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</b>	Original <b>5E</b>
Consequences	Proactive Controls	Reactive Controls	Current
<b>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</b>	<b>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</b>	<b>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</b>	<b>5D</b>

CRR08: Major Events/Incidents (non-Covid)		Risk Owner: Margaret Wallace	Risk Score
<p><b>Missed opportunities</b></p> <p><b>Death and / or failure to protect public health</b></p> <p><b>Increased risk of flooding and other natural disasters</b></p> <p><b>Lack of ability to deliver civil contingency partnership accountabilities</b></p> <p><b>Inability to support local communities and businesses to recover from major changes or incidents</b></p> <p><b>Trauma faced by families and work colleagues</b></p>	<p><b>Membership of expert bodies that lobby Government and provide updates and guidance during period of crisis e.g. DCN, LGA</b></p> <p><b>Allocation of finance to address key issues</b></p> <p><b>Cross department and cross-agency working</b></p> <p><b>Membership of expert bodies to guide our response to policy development</b></p> <p><b>Attendance at seminars, workshops and professional development</b></p> <p><b>Attendance of various Yorkshire and the Humber/ NY and Yorkshire-wide meetings i.e. Leaders, Chief Executives Group</b></p> <p><b>Regular liaison with partnership bodies e.g. the LEP</b></p> <p><b>Climate Change Action Plan</b></p> <p><b>Participation in civil contingency planning and delivery, e.g. Strategic Recovery Group for York and North Yorkshire</b></p> <p><b>Learning from previous incidents</b></p> <p><b>Integrated emergency planning meeting</b></p> <p><b>Corporate Emergency Planning meeting</b></p>	<p><b>Learning form tabletop exercises/previous events</b></p>	



CRR08: Major Events/Incidents (non-Covid)	Risk Owner: Margaret Wallace	Risk Score
	<p><b>Corporate Emergency Planning Training and Exercise Plan</b></p> <p><b>Malton, Norton and Old Malton Multi-Agency Emergency Pump Plan</b></p>	
Mitigating Actions		Target
<p><b>Networking with relevant groups and other local authorities to ensure we are consistent and sharing and learn from good practice</b></p> <p><b>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</b></p> <p><b>Link with assets on Ryedale response to electrical outage in conjunction with IT to ensure we have a robust response</b></p> <p><b>Continue to develop the new integrated emergency planning meeting (multi-agency) for Ryedale</b></p> <p><b>Continue to develop the new corporate emergency planning group with key action plan</b></p> <p><b>Provision of specialist emergencies and resilience advice to provide up-to-date guidance and lead progression on emergency planning activity</b></p> <p><b>Develop community resilience plans in partnership with parish and town councils</b></p> <p><b>Increase awareness of community preparedness in collaboration with other partner agencies including the production of town community plans in collaboration with the 5 Town Councils</b></p> <p><b>Rollout of Resilience and Emergencies Training by the North Yorkshire Local Resilience Forum across June/July 2022</b></p> <p><b>Monitoring of the Climate Change Action Plan is included in the Environmental Health service delivery plans in line with quarterly corporate performance reporting</b></p> <p><b>Promote participation in Community Response Plans and volunteer support groups</b></p>		<b>4D</b>

CRR08: Major Events/Incidents (non-Covid)	Risk Owner: Margaret Wallace	Risk Score
<p><b>Draft Protect Duty Bill (Queens Speech, May 2022) - take a risk-based approach, including the implementation of appropriate and proportionate mitigation measures, which does not allow terrorism to disrupt normal life and inhibit our freedoms to enjoy the places and spaces that are a critical and much-loved part of local communities.</b></p> <p><b>Annual review of Business Impact Analysis's (BIAs) and updated Service Business Continuity Plans by 30 September as part of preparation for LGR to identify time critical functions and key risk areas</b></p> <p><b>Additional budget approved in 2022/23 to ensure adequate resource and capacity in place for Emergency Planning and Flood Management and progressing with extra support as part of existing SLA with NYCC Resilience and Emergencies Team.</b></p>		

CRR09: Job Creation, Economic Sustainability and Growth		Risk Owner: Phillip Spurr		Risk Score
<p>Description</p> <p><b>Failure to support business and the growth/retention of jobs locally as the district recovers from the Covid pandemic and addresses cost of living/inflationary issues</b></p> <p><b>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 and Levelling Up Fund</b></p>		<p>Causes</p> <p><b>Failure to support businesses to address inflationary pressures</b></p> <p><b>Failure to engage business appropriately</b></p> <p><b>Failure to recognise the opportunities offered by the new arrangements with the EU</b></p> <p><b>Lack of effective strategic planning to address these issues</b></p> <p><b>Lack of effective engagement with partner agencies within and beyond Ryedale</b></p> <p><b>Failure to engage effectively in agreeing a YNY devolution deal</b></p> <p><b>Failure to secure sufficient Government funding to address key issues</b></p> <p><b>Lack of financial and staffing capacity deliver required actions</b></p> <p><b>Substantial rise in the cost of living due to the impact of Covid and war in Ukraine</b></p> <p><b>High rise in the cost of fuel involved in travelling to and across the district</b></p>		Original
Consequences		Proactive Controls	Reactive Controls	Current
<p><b>Economic underperformance leading to business failures and job losses</b></p> <p><b>Adverse social and health consequences</b></p> <p><b>Decline/stagnation in district town centres</b></p> <p><b>Decline in key economic sectors, including agriculture/manufacturing/services/retail, leisure and hospitality</b></p> <p><b>Inability to deliver key infrastructure improvements</b></p> <p><b>Inability to deliver low carbon initiatives</b></p>		<p><b>New corporate plan reflects opportunities/priorities in each of these areas</b></p> <p><b>Effective provision of business support – both financial and non-financial</b></p> <p><b>Full engagement with district, regional and national partners to deliver economic recovery – e.g. LEP/NYCC/national Government/funding agencies</b></p>	<p><b>Briefing papers for Elected Members and, Strategic Management Board provided on each of these issues</b></p> <p><b>Ongoing participation in working groups, fora and partnerships helping to direct these activities</b></p> <p><b>Ongoing activity to ensure that strategic plans reflect emerging policy direction</b></p> <p><b>Regular performance monitoring, with mitigating actions taken</b></p>	4D

CRR09: Job Creation, Economic Sustainability and Growth		Risk Owner: Phillip Spurr	Risk Score
<p><b>Ryedale becomes an unattractive location for investment, and for people to live, work, invest and visit</b></p> <p><b>Increased loss of young people seeking economic opportunities elsewhere</b></p> <p><b>Decrease in new employment opportunities and increased unemployment</b></p> <p><b>Loss of investment/business as it seeks opportunities elsewhere</b></p> <p><b>Reputational risks – to the council and to the wider district</b></p> <p><b>Loss of public confidence in the council</b></p> <p><b>Recruitment difficulties</b></p> <p><b>Price uncertainty and supply chain difficulties</b></p> <p><b>Price pressures from contractors, increased demands on services from customers and businesses</b></p> <p><b>Loss of revenue to the council</b></p>	<p><b>Securing of additional investment – e.g. Levelling Up/Shared Prosperity funding</b></p> <p><b>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</b></p> <p><b>Proactive engagement to finalise the York/North Yorkshire devolution deal negotiations</b></p> <p><b>Proactive engagement in the LGR Economic Development workstream, including the development of a new North Yorkshire Economic Development Strategy</b></p> <p><b>Utilisation of guidance upon Britain’s future relationship with the EU on specific areas such as trade/procurement/funding programmes</b></p> <p><b>Progress on all actions monitored and reported to Strategic Management Board and to Members on a regular basis</b></p>	<p><b>Briefing papers for Elected Members and, Strategic Management Board provided on a regular basis on each of these issues</b></p> <p><b>Lobbying of local, regional and national partners to increase support and resources to promote increased economic sustainability</b></p>	
Mitigating Actions			

CRR09: Job Creation, Economic Sustainability and Growth	Risk Owner: Phillip Spurr	Risk Score
<p><b>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 period</b></p> <p><b>Proactive business support, skills and investment programmes being delivered</b></p> <p><b>Engage in partnership groups/fora to ensure effective planning and delivery of cross-North Yorkshire economic recovery initiatives</b></p> <p><b>Play a full role in agreeing the YNY devolution deal</b></p> <p><b>Proactive engagement in the LGR Economic Development workstream, including shaping the new North Yorkshire Economic Development Strategy</b></p> <p><b>Workforce: monitor the potential impact on recruitment and retention of LGR and other issues and address accordingly</b></p> <p><b>Continue to ensure that key messages/information in each of these areas is publicised both internally and externally</b></p> <p><b>Maximise external funding into the district – e.g. Shared Prosperity/Levelling Up funding</b></p> <p><b>Monitoring of strategies, plans and targets included in the Economic Development service delivery plan in line with quarterly corporate performance reporting</b></p>		<p><b>4C</b></p>

CRR10: Safeguarding		Risk Owner: Margaret Wallace	Risk Score
Description		Causes	Original
<p><b>Failure to ensure Safeguarding (Children and Adults), risk of death or injury to children/adults, through inappropriate practices, care or attention</b></p> <p><b>Failure to prevent children and vulnerable adults from being radicalised and drawn into extreme activity</b></p>		<p><b>Lack of awareness and ownership across the Council</b></p> <p><b>Outdated policies and procedures</b></p> <p><b>Lack of assurance that written policies and procedures are actually being followed</b></p> <p><b>Contact details in the Safeguarding Policy are not up to date</b></p> <p><b>Training records are not adequate</b></p> <p><b>Compulsory attendance at safeguarding training for members has not been monitored and enforced</b></p> <p><b>No clear list of DBS checks necessary for staff</b></p> <p><b>Failure to update the guidance available to employees in respect of convictions</b></p> <p><b>Safeguarding arrangements are not included in contracts as standard</b></p> <p><b>Regular refresher training about information security and internet usage does not take place</b></p> <p><b>Staff failing to attend Mandatory Safeguarding Training</b></p> <p><b>Failure to review the Speak Out Policy</b></p>	<b>5D</b>
Consequences	Proactive Controls	Reactive Controls	Current
<p><b>Poorer outcomes for children and adults</b></p> <p><b>Impact on statutory responsibilities and regulatory judgement</b></p> <p><b>Complaints/claims/litigation</b></p> <p><b>Increased costs</b></p> <p><b>Adverse publicity</b></p> <p><b>Reputation damage</b></p>	<p><b>Internal Audit undertaken</b></p> <p><b>Quarterly safeguarding meetings are place with representatives from each service areas</b></p> <p><b>Quarterly meeting in place with elected members leads</b></p> <p><b>SMART Safeguarding action plan in place to mitigate risk and address any issues</b></p> <p><b>Reports to SMB on safeguarding</b></p>	<p><b>Annual check on safeguarding terms or reference/ policy</b></p> <p><b>Annual review of contract management for safeguarding clause</b></p> <p><b>Annual review of safeguarding training</b></p> <p><b>Policies and procedures will be reviewed on an annual basis to ensure they are kept up to date with new legislation/guidance and</b></p>	<b>3C</b>

CRR10: Safeguarding		Risk Owner: Margaret Wallace		Risk Score
<p><b>Adverse effect on the Council's partners and providers</b></p> <p><b>Adverse effect on morale</b></p> <p><b>Failure to support vulnerable people through and beyond the Covid pandemic</b></p> <p><b>Staff may miss opportunities to prevent a vulnerable person from being radicalised or carrying out extreme activities</b></p>	<p><b>HR policies updated, and placed on Bob, all staff have read and understood the policy, and this is recorded centrally</b></p> <p><b>Training records updated</b></p> <p><b>Safeguarding training records being updated centrally</b></p> <p><b>Safeguarding training provided to all new staff on a regular basis</b></p> <p><b>Safeguarding Policy read and understood by all new employees</b></p> <p><b>Safeguarding performance statistics are included in the quarterly performance reports in line with this Council Plan priority</b></p> <p><b>Home Office online training rolled out to all staff as mandatory</b></p>	<p><b>version control will be introduced to ensure annual review undertaken</b></p> <p><b>Safeguarding action plan/report will report quarterly to SMB and Overview and Scrutiny Committee</b></p> <p><b>CTLP (Counter Terrorism Local plan) reviewed annually, and information submitted to populate this</b></p>	<div style="background-color: yellow; width: 100%; height: 100%;"></div>	
Mitigating Actions				
<p><b>Quarterly meeting set up and attended by all managers (service reps) to highlight awareness and ownership across the Council</b></p> <p><b>Policy and procedure distributed to all managers and staff to be reviewed on a regular basis</b></p> <p><b>Record of employees 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</b></p> <p><b>Up to date contact details in the Safeguarding Policy</b></p>				<div style="background-color: green; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> <span style="font-size: 24pt; font-weight: bold;">2B</span> </div>

CRR10: Safeguarding	Risk Owner: Margaret Wallace	Risk Score
<p><b>Guidance from HR of necessity for DBS checks and assessment, all managers checking JD, risk assessing and ensuring safe recruitment practices in place</b></p> <p><b>The Speak Out Policy is up to date</b></p> <p><b>Senior management/heads of service/ managers to include safeguarding in their service/team plans and report back on progress</b></p> <p><b>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</b></p> <p><b>Review arrangements for the recovery of systems following a software crash in line with business continuity/risk plans</b></p> <p><b>Out of hours standby arrangements in place in Ryecare, housing and community team</b></p> <p><b>Quarterly multi-agency Prevent meetings and annual action plan</b></p> <p><b>New domestic abuse legislation implemented and integrated into Ryedale services</b></p> <p><b>Safeguarding Week took place during June 2022, providing staff with an extensive programme of learning events, seminars and interactive sessions to underpin the theme – ‘Safeguarding is everybody’s business’.</b></p> <p><b>Performance monitoring of safeguarding actions contained in service delivery plans in line with quarterly corporate performance reporting</b></p>		



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

CRR11: Local Government Reorganisation		Risk Owner: Stacey Burlet	Risk Score
<p><b>Weakened relationships with other key stakeholders</b></p> <p><b>Loss of staff during the transition, combined with reduced ability to recruit new staff</b></p> <p><b>Loss of meaningful representation of local communities</b></p> <p><b>Complexity in achieving strategic alignment between Members</b></p> <p><b>Potential for conflict in change process resulting in poor leadership performance and lack of clear direction</b></p> <p><b>Reduced budgets/capital due to increased spend prior to reorganisation</b></p> <p><b>Increased levels of staff sickness and fatigue</b></p> <p><b>Low staff morale and motivation</b> 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><b>CX involvement in Government and North Yorkshire wide CX meetings; Chair of P&amp;R involvement in political equivalent</b></p> <p><b>Clear communication on transferring terms and conditions and any associated implications</b></p> <p><b>NY website is accessible to all</b></p> <p><b>Individual work streams include subject matter experts</b></p> <p><b>In kind and direct cost tracking is taking place (includes backfilling and specific invoices)</b></p> <p><b>Protection Rights Policy, Equalities in Employment Policy, Redeployment and Redundancy Policy and procedure and Recruitment Policy, Framework and Guidelines including Safer Recruitment in place</b></p> <p><b>Council Plan 2020-24 articulates key delivery priorities up to 31 March 2023; with reporting on progress via quarterly and annual reporting</b></p> <p><b>Complaints and compliments monitoring</b></p>	<p><b>Targeted interventions as required to address complaints trends</b></p> <p><b>Mutual aid being established for enacted as required during LGR transition</b></p> <p><b>Additional resource is being reviewed following recommendations from subject matter experts in conjunction with work stream demands; with LGR Backfilling an ongoing item at weekly Strategic Management Board Meetings to meet concerns raised in relation to capacity to deliver business as usual functions as well as additional LGR duties</b></p> <p><b>Significant number 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</b></p> <p><b>Regular LGR Pulse Surveys conducted and follow up action taken from responses, for example, learning and development and digital testing opportunities</b></p> <p><b>LGR Workforce Sessions, including some led by HR staff, taking place on a regular basis throughout 2022-23, to answer questions from staff with concerns around transferring to the new council, pay and</b></p>	

CRR11: Local Government Reorganisation	Risk Owner: Stacey Burlet		Risk Score
	<p><b>The 2023 implementation timeline has appropriate governance and implementation arrangements are in place</b></p> <p><b>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</b></p> <p><b>All councils are playing a key role in the design of new services/transition arrangements to ensure service continuity from day 1</b></p> <p><b>There is a process in place for significant spending to be signed off through continuing authority governance processes and within RDC</b></p> <p><b>Review of the Council Plan has been completed to determine key delivery priorities up to 31 March 2023 and changes in political leadership</b></p>	<p><b>conditions, contracts and working arrangements.</b></p> <p><b>LGR staff webinars by the Chief Executive of the new authority.</b></p>	
Mitigating Actions			Target
<p><b>Defined work stream meetings taking place on a regular basis involving expert leads across all service areas, with representation from all North Yorkshire councils</b></p> <p><b>Ongoing tracking of benefits realised occurs via the NYCC Programme Office</b></p> <p><b>An Annual Report of progress against the Council Plan during 2021-22 is due to be presented to P&amp;R in August 2022 and production of a cover report and citizens newsletter is planned for 2022-23</b></p>			<b>3C</b>

