


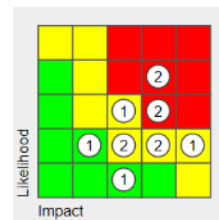

























Selby District Council Corporate Risk Register 2021-2023


Overview: July 2021

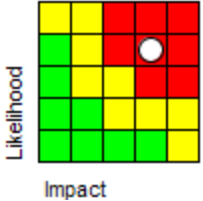
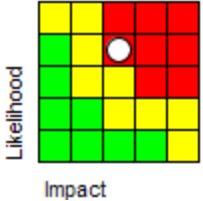
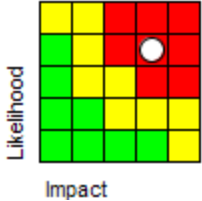
Risk Status	
	High Risk
	Medium Risk
	Low Risk




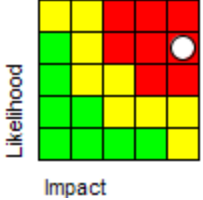
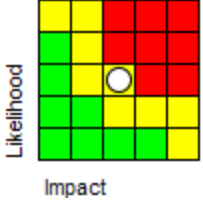
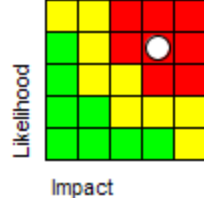
Status	Code	Previous Risk Score (January 2021)	Current Risk Score	Trend	Title
	SDC_CRR_018	-	16	-	Local Government Reorganisation
	SDC_CRR_003	16	16		Financial Resources
	SDC_CRR_000	12	12		Failure to deliver corporate priorities
	SDC_CRR_004	12	12		Organisational Capacity
	SDC_CRR_002	10	10		Health and Safety Compliance
	SDC_CRR_008	12	9		Economic Environment

Status	Code	Previous Risk Score (January 2021)	Current Risk Score	Trend	Title
	SDC_CRR_006	8	8		Managing Customer Expectations
	SDC_CRR_007	8	8		Fraud & Corruption
	SDC_CRR_014	6	6		Systems and Technology
	SDC_CRR_017	6	6		Managing Partnerships
	SDC_CRR_013	4	4		Information Governance/Data Protection
	SDC_CRR_001	3	3		Failure in corporate governance arrangements

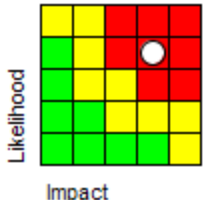
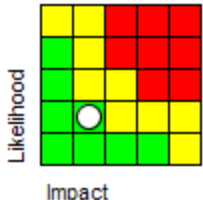
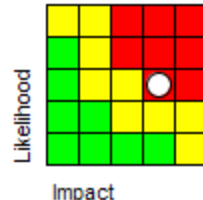
Status	Risk Score	Risk Title	Description		Risk Owner
	16	Local Government Reorganisation	Failure to deliver the council's priorities for the Selby district due to the potential reorganisation of local government across North Yorkshire and York		Head of Business Development and Improvement
Causes		<ul style="list-style-type: none"> • SDC voice not heard nationally or sub-regionally • Reduced staff capacity/reduced staff morale • Insufficient financial resources/resources not aligned to priorities • Lack of effective programme/project/performance management 	Consequences	<ul style="list-style-type: none"> • SDC ceases to exist and organisational priorities do not get delivered 	
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Express opposition to LGR - particularly at a time when resources are stretched in responding to the Covid 19 pandemic • Work with other NY districts to develop alternative proposals to ensure local government across NY & Y is balanced, equitable and maximises local representation • Monitor Government consultations on LGR proposals and continue to secure expressions of support from key stakeholders • Work with other districts - at senior levels - to ensure opportunities to influence outcomes beneficial to the Selby district are maximised • Carry out preparations for transitioning to any new unitary structure(s) in anticipation of a final govt decision. This will include engagement with the public, staff, key partners and the other NY districts. • Review the People Plan to increase support to staff - particularly around communications, engagement and skills - to ensure they are fully supported through the change process and in a position to take advantage of any opportunities presented by LGR • Review priorities in line with expected timescales of LGR and robust project and programme management to ensure council priorities are delivered • Update the MTFS to ensure financial resources are explicitly targeted at achieving priority outcomes in the time available • Engage effectively with any implementation process of whatever arrangements are finally determined by the Secretary of State • State in line with his timetable to ensure a reasonable balance of securing favourable new arrangements for residents of the district whilst ensuring core services and SDC short and medium term priorities are delivered • Review and prepare for specialist resources that may be required. 			


Risk Assessments		
Original Risk Rating	Target Risk Rating	Current Risk Rating
 <p>16</p>	 <p>12</p>	 <p>16</p>
Notes		Review Date
<p>NEW RISK</p> <p>A government decision on LGR is imminent. There is a significant risk that SDC will no longer exist beyond April 2023.</p> <p>We are working closely with district council colleagues at a senior level (officers and politicians) to ensure we are clear on the changes taking place and are influencing and lobbying on SDCs behalf.</p> <p>LGR has the potential to impact on staff morale - the People Plan has been re-focused to support staff through this significant change and we are increasing levels of staff engagement.</p> <p>LGR has the potential to impact on capacity - some key members of staff are already leaving although plans are in place to recruit. Furthermore, implementation of new arrangements will potentially take key staff away from the 'day job' - this will be managed and monitored carefully and backfilling arrangements put in place.</p> <p>LGR has the potential to impact on resources - we are not yet clear as to the expected costs of LGR for SDC but are currently reviewing and revising the MTFS to start to plan for this.</p> <p>LGR has the potential to impact on delivery - in addition to staff morale, capacity and resources - there is a significant impact on the time available to deliver council priorities. In the event of the expected decision there will be new local government arrangements, the subsequent Structural Changes Order - expected to be signed off by Parliament towards the end of this year - may have a bearing on how the council spends its money going forward. The MTFS is being refreshed in advance of this to ensure SDC has a clear plan around what money is to be spent on linked to the councils stated priorities in the Delivery Plan.</p>		<p>June 2021</p>

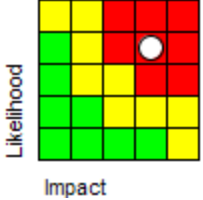
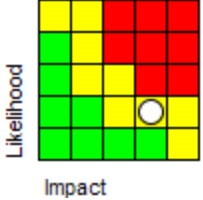
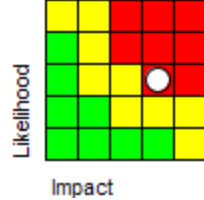
Status	Risk Score	Risk Title	Description	Risk Owner
	16	Financial Resources	The Council's financial position is not sustainable beyond 2021.	Chief Finance Officer
Causes		<ul style="list-style-type: none"> • Unforeseen financial pressures as a result of Covid-19 • Poor financial planning • Funding cuts/ Investment Strategy • Non-delivery of savings • Poor spending • Poor decisions • Partnership contract (goes awry) • Fair Funding Review (demonstrate why costs) • Over commitment (i.e. Northamptonshire) • Economic - high inflation/increased demand • Loss of control in service delivery • Political environment changes 	Consequences	<ul style="list-style-type: none"> • Unable to deliver its Corporate Plan ambitions and Statutory functions • Unable to meet financial commitments (long/medium/short term) • Unable to set a balanced budget as required by legislation. • Central Government intervention • Forced to make unplanned service reductions which impact on residents and businesses. • Significant reputational and political change.
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Financial support provided by central government. • Long term financial strategies (GF & HRA) setting out high level resources and commitments and owned by Council members. • 3 year budget underpinned by reasonable assumptions (inflation, interest rates etc). • Effective in year budget management arrangements in place. • Savings plan approved with supporting delivery plans for each saving. • Programme for Growth resourced with supporting business cases and action plans. Investment decisions supported by robust whole life (at least 5 years) business cases. 		


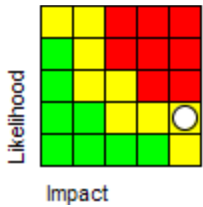
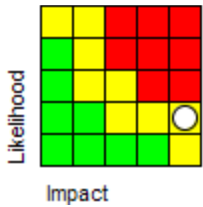
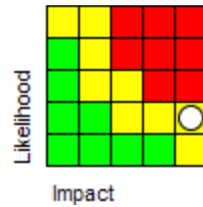
Risk Assessments		
Original Risk Rating	Target Risk Rating	Current Risk Rating
 <p style="text-align: center;">20</p>	 <p style="text-align: center;">9</p>	 <p style="text-align: center;">16</p>
Notes		Review Date
<p>No change to the risk score.</p> <p>A refreshed MTFS is scheduled for Executive early July and then on to Council for approval.</p> <p>Significant uncertainty overall financial outlook remains as a result of Covid (and Brexit) and longer term economic impacts along with delays to fairer funding review and business rates retention reform and withdrawal of New Homes Bonus. The situation is exacerbated by prospect of LGR.</p> <p>Savings have largely been pushed out to 24/25 as capacity is diverted to on-going Covid issues and accelerated delivery of Council Plan.</p> <p>As noted at the last risk review, a number of service related risks are being monitored which include the impacts of Covid on leisure provision and income streams such as car parking and planning.</p> <p>Reserves strategy in place to bridge the gap in the short to medium term and enable a smooth transition to any new authority.</p>		<p>July 2021</p>

Status	Risk Score	Risk Title	Description	Risk Owner
	12	Failure to deliver corporate priorities	The Council fails to deliver its corporate priorities as set out and approved by Councillors.	Chief Executive
Causes		<ul style="list-style-type: none"> • Lack of prioritisation • Priorities not reflected in service plans • Windfalls re direct priorities • Political and/or external factors • Capacity/single point of failure • Lack of clarity over corporate priorities 	Consequences	<ul style="list-style-type: none"> • Poor performance - impacting on residents • Poor reputation - residents and partners • Political instability • Staff morale decreased • Missed opportunities for funding • Partnership not fulfilled
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • New Council Plan 2020/30 approved December 2019 • Clear priorities – cascaded via PDRs/1:1s • Shared with wider workforce via Staff Briefings • Corporate Comms Plan in place. • Delivery via service plans – currently being drafted by Heads of Service in conjunction with employees • Monitoring via Leadership Team as programme board • Executive oversight through quarterly corporate performance monitoring (also subject to quarterly Scrutiny) 		

Risk Assessments			
Original Risk Rating	Target Risk Rating	Current Risk Rating	
 <p>16</p>	 <p>4</p>	 <p>12</p>	
Notes			Review Date
<p>Risk assessment score remains the same Covid pandemic continues - although government lifting of restrictions is enabling return of many of those services previously limited by Covid. LGR is a significant risk to delivery of corporate priorities - see separate risk - due to potential impact on time and resources to deliver.</p>			June 2021


Status	Risk Score	Risk Title	Description	Risk Owner
	12	Organisational Capacity	Lack of organisational capacity and resilience to effectively deliver agreed outcomes and objectives for now and for the future.	Director of Corporate Services and Commissioning
Causes		<ul style="list-style-type: none"> • Loss of staff • Pay scales • Skills • Wrong structure • Succession planning • Motivation • Culture • Poor leadership • Ineffective management • Failure to prioritise 	Consequences	<ul style="list-style-type: none"> • Increased cost of delivery • High churn • Slowing pace • Loss of talent • Poor delivery of priorities • Impact on reputation • Political frustrations • Failure to deliver outcomes • Low resident satisfaction • Loss of confidence from partners and businesses • Staff stress and dissatisfaction • Poor services
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Organisational review resulting in the right people in the right posts doing the right things, doing them well and funded on a sustainable footing. • Working with partners to lever capacity and expertise – e.g. Better Together. • Utilising Programme for Growth to secure short/medium term capacity to deliver Council priorities – e.g. Economic Development function. • Assessment and review processes (e.g. Peer Challenge; Staff Survey; IIP Assessment) in place. • Organisational Development Strategy (People Plan) and Action Plan • Secure sufficient HR/OD capacity/resources to deliver. 		



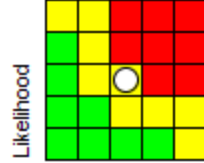
Risk Assessments		
Original Risk Rating	Target Risk Rating	Current Risk Rating
 <p>16</p>	 <p>8</p>	 <p>12</p>
Notes		Review Date
<p>Risk score remains the same.</p> <p>Risks linked to Covid have reduced slightly:</p> <ul style="list-style-type: none"> • Government restrictions linked to the Covid-pandemic are being lifted - final restrictions expected to be removed on 19 July. • At end May, around two thirds of staff had received their first Covid vaccination and a quarter their second. • Decision taken for staff who can to continue to work at home to end of Sept - with increasing flexibility to come into office once final government restrictions lifted. Over 80% of staff favour that approach. • Staff sickness remains very low. • Work on lockdown-related backlogs well underway. <p>However, LGR-related risks increase:</p> <ul style="list-style-type: none"> • Government decision imminent - risk to morale • Risk of staff leaving to secure more permanent roles. however, recruitment continues, e.g. property service restructure and key planning roles • Risk to capacity of staff being required to work on LGR-implementation activities • Focus of People Plan targeted to support staff through change (increasing engagement and core skills) <p>MTFS being reviewed/updated to ensure budgets targeted at priorities and required savings plans amended to ensure maximum staff resources over the next two years.</p>		<p>June 2021</p>


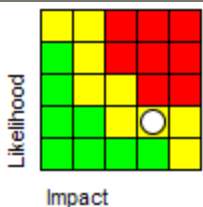
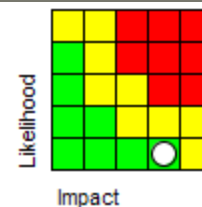
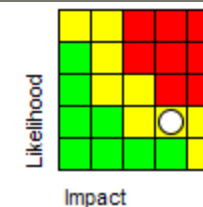
Status	Risk Score	Risk Title	Description	Risk Owner
	10	Health and Safety Compliance	Failure to comply with Health and safety legislation.	Head of Operational Services
Causes		<ul style="list-style-type: none"> • Incident involving a member of staff, visitor or member of the public • Incident involving council property or on council owned land. • HSE or third-party investigation. • Non-compliance with Health and Safety legislation. • Non-compliance with govt guidance for Covid secure 	Consequences	<ul style="list-style-type: none"> • Actual or potential injury or loss of life. • Environmental degradation. • Financial loss / impact on value of assets. • Reputational damage. • Covid outbreak / loss of staff and reputational damage
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Health and Safety Policy and Plan has been reviewed and is in place led by SDC experts with NYCC providing expertise to provide advice to Managers and ensure Health and Safety procedures are rigorous. • Health and safety due diligence assessment on service areas and contractors. • Public liability and property insurance. • Risk management system in place to manage equipment, contractors, property and environmental and health & safety risks. • Health and safety performance monitoring of Delivery Partners to ensure HS&E compliance. • Risk assessing, and then managing accordingly, every property and asset. • Statutory checks to ensure regulatory HS&E Compliance. • Event Safety Plan for all events managed by external consultants. • Covid Secure risk assessments for all Council operations are in place and certified Covid Secure 		
Risk Assessments				
Original Risk Rating		Target Risk Rating		Current Risk Rating
 <p>10</p>		 <p>10</p>		 <p>10</p>
Notes				Review Date
Risk score remains the same				June 2021

<p>Covid 19 pandemic continues. Comprehensive plans are in place in response to Covid 19 pandemic. Services and activities have been risk assessed and safe working practices put in place to protect staff and residents from the impact of Covid.</p>	
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<p>Service risk assessments are being reviewed as government restrictions are lifted and some resident facing services are brought back.</p>	
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Status	Risk Score	Risk Title	Description	Risk Owner
	9	Economic Environment	Poor net economic growth.	Director of Economic Regeneration and Place
Causes		<ul style="list-style-type: none"> • Selby District has performed well across a range of economic measures in recent times including low unemployment, high skills levels, significant business investment and increased levels of employment. • However, the Covid-19 lockdown has had a significant and unprecedented impact on global, national, regional and the local economy and the full impact has yet to be realised. • The impact of leaving the EU is also a cause of uncertainty for businesses. 	Consequences	<ul style="list-style-type: none"> • Significant negative impact of Covid-19 lockdown on existing businesses in the district • Impact on reputation and willingness by business to engage • Inward investment reduces • Higher unemployment • Decrease in new employment opportunities • Potential negative impact on business rates income. • Increased demand for economic development and wider Council support services e.g. debt support • Increased demand for interventions to stimulate economic growth.
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Reviewed the Council Plan to ensure economic recovery is front and centre in the delivery priorities for the next 3 years – including a strong focus on key projects such as the Town Centre Action Plans, Selby Town HAZ, Selby Station TCF and district wider support for businesses. • Proactive engagement with YNY and LCR LEPs to influence economic growth programmes and the ensure Selby District priorities are captured in their respective Economic Recovery Plans. • Strong focus on Town Centre and High Street Recovery with clear Action Plans being developed for each centre and a bid made to the government’s Re-opening High Streets Safely Fund. • Appointed to vacant posts in the Economic Development & Regeneration service to allow the Council to take a proactive approach • Continued promotion of Selby District as being open for business and a great place to invest and locate. • Detailed engagement with key businesses to understand future challenges and opportunities to identify where the Council can provide additional support including proactive support with small business grants, Federation of Small Businesses Membership and a detailed survey of local businesses to shape where our interventions are most needed. • Engagement with key partners to influence investment programmes and decisions e.g. working jointly with NYCC and the YNY LEP to successfully bid to the governments ‘shovel ready’ programme to aide Covid recovery; helping to shape the draft YNY Devo Deal. 		

Risk Assessments		
Original Risk Rating	Target Risk Rating	Current Risk Rating
 <p style="text-align: center;">12</p>	 <p style="text-align: center;">4</p>	 <p style="text-align: center;">9</p>
Notes		Review Date
<p>As Covid restrictions are lifting, there is considerably greater economic activity but this is not uniform across all sectors, with town centre footfall not yet reaching pre-pandemic levels and some businesses affected by Covid and / or Brexit. However, the increases in unemployment have not reached the levels that were feared and there have been positives in terms of new shops opening. The demand for industrial space is particularly strong and there is considerable activity in business start ups, although this normally occurs in response to economic shocks.</p> <p>For these reasons, the risk level has been reduced slightly.</p>		July 2021


Status	Risk Score	Risk Title	Description	Risk Owner
	8	Managing Customer Expectations	Inability to meet customers' demand for services.	Head of Business Development and Improvement; Chief Executive
Causes		<ul style="list-style-type: none"> • Lack of clear standards/standards not being met • Staff not demonstrating core values/behaviours • Poorly trained staff/ineffective learning • Staff not empowered to take decisions • Ineffective front:back office processes • Lack of resources/resources not aligned to priorities • Poor services 	Consequences	<ul style="list-style-type: none"> • Poor customer satisfaction. • Quality and timeliness of service suffers. • Sustainability of service. • Increased customer complaints. • Impact on Elected Members.
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Increase community delivery. • Channel shift to self-service. • Re-design services using quality data. • Develop structured multi-agency partnerships. • Right first time services to remove avoidable work. 		
Risk Assessments				
Original Risk Rating		Target Risk Rating		Current Risk Rating
 <p>8</p>		 <p>4</p>		 <p>8</p>
Notes				Review Date
Risk score remains the same				June 2021



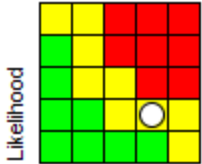
Frontline customer service continues to be delivered successfully from home whilst government requires staff to work at home where possible. Online and telephony contact channels will operate from the Civic Centre once it is re-opened.


Significant communications support to customers continues to ensure customer expectations are managed.

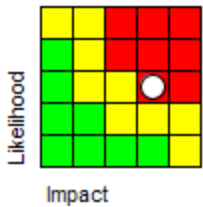
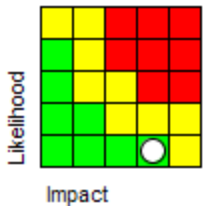
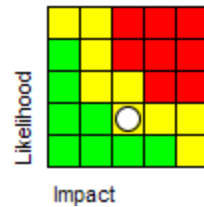
Roll out of technology to support customer self service continues: e.g Scanstation introduced; implementation of Revenues & Benefits self service software underway although full rollout delayed due to Covid-19; website accessibility improvements completed with more in progress; new payments portal scheduled for July 2021; housing portal scheduled for late summer 2021.

Complaints performance shows continuous improvement.


Status	Risk Score	Risk Title	Description	Risk Owner
	8	Fraud & Corruption	Incident of fraud and/or corruption occurs within the Council.	Chief Finance Officer
Causes		<ul style="list-style-type: none"> • Low staff morale • Debt (Individual) • Lack of vigilance by staff • System weakness - unknown • Failure to report changes • Incorrect information 	Consequences	<ul style="list-style-type: none"> • Financial and reputational loss • Potentially more fraud (gaps not closed)
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Counter fraud arrangements reviewed through annual self-assessment • Counter Fraud and Corruption Strategy and Policy to be reviewed regularly 		

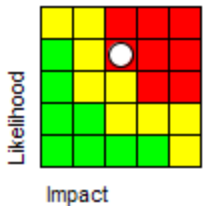
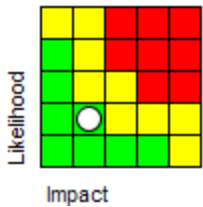
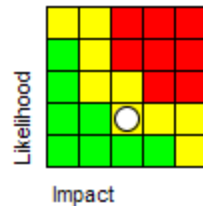
Risk Assessments			
Original Risk Rating	Target Risk Rating	Current Risk Rating	
 <p>Likelihood</p> <p>Impact</p> <p>8</p>	 <p>Likelihood</p> <p>Impact</p> <p>8</p>	 <p>Likelihood</p> <p>Impact</p> <p>8</p>	
Notes			Review Date
No change to the risk score is proposed.			July 2021

Status	Risk Score	Risk Title	Description	Risk Owner
	6	Systems and Technology	Lack of investment in the right technology and systems.	Head of Business Development and Improvement
Causes	<ul style="list-style-type: none"> • Failure to invest /keep up to date • Lack of knowledge to specify what we need • Fraud - internal theft of data or sabotage of system/data • Lack of training • Poor implementation • Policies not up to date • Not utilising fully 	Consequences	<ul style="list-style-type: none"> • System fails - cannot deliver (or less than optimal) • Fraud or financial impact • ICO action/fine • Wasted money/resources • Loss of critical data • Reputational damage and/or undefendable claims 	
Controls or Mitigating Actions in Place	<ul style="list-style-type: none"> • Digital Strategy 2018/20 and Implementation Plan with focus on: • Digital customers – channel shift/self-service and meeting changing expectations • Digital workforce – using technology to transform how • Digital foundations – maintaining modern, secure systems and infrastructure and strengthening governance and resilience • IT investment - with 10 year plan - aligned to business needs and requirements (Digital Strategy). • Programme supported by clear business cases and benefit realisation reports. • Robust business continuity and disaster recovery arrangements. • Continue to maximise opportunities for partnership working – e.g. through Better Together - which will deliver on shared ICT resources. 			

Risk Assessments		
Original Risk Rating	Target Risk Rating	Current Risk Rating
 <p style="text-align: center;">12</p>	 <p style="text-align: center;">4</p>	 <p style="text-align: center;">6</p>

Notes	Review Date
<p>Risk score unchanged</p> <p>BT arrangement with NYCC to provide IT infrastructure support renewed until June 2023.</p> <p>Microsoft 365 project almost complete - including extensive SharePoint and Teams training this month. Enhanced security - including more complicated passwords and use of biometrics rolled out this month.</p> <p>Continue to ensure we are on the most up to date versions of software.</p> <p>Shift to moving more services online continues, e.g. new online payment system scheduled for July, new housing portal in the autumn, e-billing for council tax next spring.</p>	<p>June 2021</p>

Status	Risk Score	Risk Title	Description	Risk Owner
	6	Managing Partnerships	Inability to influence strategic partnerships (e.g. health/ LEP/NYCC etc.).	Director of Economic Regeneration and Place
Causes		<ul style="list-style-type: none"> • Poor relationship management • Political buy in • Performance Management • Clarity of Purpose • Commissioning/contract management • Lack of Shared objectives • Due Diligence • Partnership governance 	Consequences	<ul style="list-style-type: none"> • Service Failure - quality of delivery • Reputational • Loss of Service • Impact on customers/residents from lack of partnership resources • Conflicting priorities • Unable to gain additional resource/staff/funding • Capacity - ventures • Overspending • Legal challenge and costs • Conflicting governance • Liability of additional cost/spend.
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Targeted work with key developers and investors. • Close working with the LEP's to identify potential investment opportunities. • Close involvement in shaping the demands within any Devolution deal. • Re-structure to increase capacity in economic development, regeneration and partnerships. 		

Risk Assessments			
Original Risk Rating	Target Risk Rating	Current Risk Rating	
 <p>12</p>	 <p>4</p>	 <p>6</p>	
Notes			Review Date
July 2021 update - assessment remains the same			July 2021


As a small council with big ambitions we rely on strong partnerships to enable us to deliver. The Council proactively works with key partners in a number of ways and is building up a growing reputation as an outward-looking and proactive organisation who delivers through working with others.

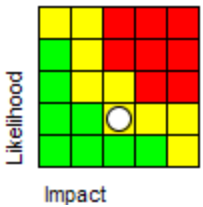
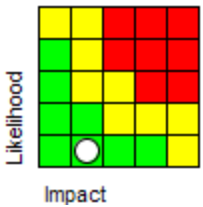
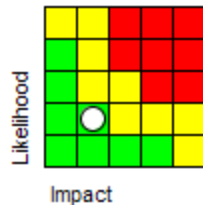
There is a partnerships policy in place and due for review this year. Successful partnerships are in place across a range of outcomes such as health, economic growth, housing, arts/culture/heritage etc.


The Covid-19 pandemic has really put to the test the strength of our partnership working but the foundations we have put in place over recent years have put us in good position to both respond to the immediate impacts of Covid-19 but to also positively lead the district's recovery. Some examples of this include:

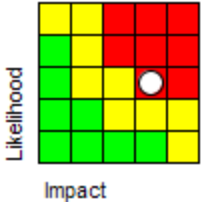
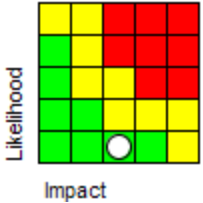
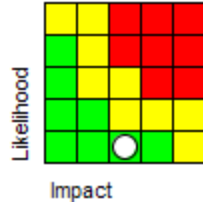
- Selby Health Matters partnership with NYCC public health and Vale of York CCG has brought a wide range of health partners together over recent years to deliver better joint working. This enabled very strong joint working from the outset of the Covid-19 pandemic to ensure vulnerable people in the district were supported to access services, and support to roll out a mass vaccination site. NYCC and the Primary Care Networks are very positive about the strength of joint working in Selby District.
- We have developed very effective partnership working with Y&NY Local Enterprise Partnership as well as engaging well with WYCA to ensure Selby District's ambitions were properly captured in economic plans, and funding programmes. Our Head of Economic Development & Regeneration works for the York & north Yorkshire LEP for 1 day per week to embed strong joint working. This has enabled us to strongly shape the emerging Local Industrial Strategy and the York and North Yorkshire Devo Deal, which has now been submitted to government, to ensure Selby District's priorities are properly captured. This has also meant we have also played a lead role in shaping the Covid-19 economic recovery plan for Y&NY too to ensure it includes locally important priorities.
 - Culture, arts and the visitor economy has been particularly badly impacted by Covid-19 but needs to play a central role in local economic recovery and re-building community confidence and hope for the future. The multi-partner Selby 950 programme which was delivered in 2019 to celebrate the 950th anniversary of Selby Abbey has had glowing feedback from the Arts Council, and the National Heritage Lottery Fund who helped to fund it. This is opening-up opportunities for strengthened partnership working and additional partner funding into the district going forward. Our recently adopted Cultural Development Framework sets a clear path for working with sector partners to invest in skills development and events and activities. The Council have committed significant additional funding through its Programme for Growth to support this work over the coming years.
 - Selby District Council is also now a formal partner of the White Rose Forest Partnership, a 30 year initiative to increase tree canopy on the region as part of the Northern Forest initiative. This will enable the authority to consider a long term approach to tree planting, funding investment to support the low carbon agenda.

A noticeable risk at present is the potential for the North Yorkshire and York Local Government Review to impact on the pace of progress and the funding in which partners can invest in collaborative agendas.

Status	Risk Score	Risk Title	Description	Risk Owner
	4	Information Governance/Data Protection	Non-compliance with the Freedom of Information and General Data Protection Regulation acts.	Chief Finance Officer
Causes		<ul style="list-style-type: none"> • ineffective and/out of date policies • staff not aware and/or trained • ineffective communication • lack of an Information Asset Register and associated roles and responsibilities 	Consequences	<ul style="list-style-type: none"> • Loss or inappropriate use of personal data and information • Damaged reputation • Financial penalty
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Information governance action plan delivered to agreed timescales, including - policies and systems in place; training provided to officers and members • Breaches recorded, monitored and followed up 		

Risk Assessments		
Original Risk Rating	Target Risk Rating	Current Risk Rating
 <p style="text-align: center;">6</p>	 <p style="text-align: center;">2</p>	 <p style="text-align: center;">4</p>
Notes		Review Date
<p>No changes to risk score proposed.</p> <p>Arrangements in place but not yet reviewed by LT due to organisational capacity - to be taken forward in Q2 of 21/22</p>		July 2021

Status	Risk Score	Risk Title	Description	Risk Owner
	3	Failure in corporate governance arrangements	The Council's governance and transparency of decision making is not effective and does not align with the Council's required flexibility to adapt.	Solicitor to the Council
Causes		The changing agenda and drive towards commercialisation requires the council to be 'fleet of foot' which may impact the ability to be accountable and transparent and legally compliant.	Consequences	<ul style="list-style-type: none"> • Councillors and managers may make decisions outside their accountability. • The Council will be vulnerable to legal challenges and ombudsman complaints with attendant costs, consequences and reputational damage. • Budgets may be overspent and outcomes may not improve.
Controls or Mitigating Actions in Place		<ul style="list-style-type: none"> • Constitution reviewed regularly including rules on decision making, access to information rules, contract procedure rules and financial procedure rules. • Governance training programme delivered for management team 		

Risk Assessments			
Original Risk Rating	Target Risk Rating	Current Risk Rating	
 <p style="text-align: center;">12</p>	 <p style="text-align: center;">3</p>	 <p style="text-align: center;">3</p>	
Notes			Review Date
Further governance training need identified in managing major projects in Economic Development Team. LT decision to deliver mandatory training on decision making and relevant constitutional rules.			July 2021