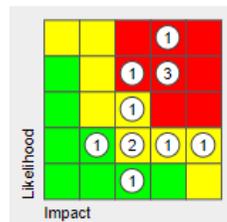


Selby District Council Corporate Risk Register 2022-2023

Overview: January 2023

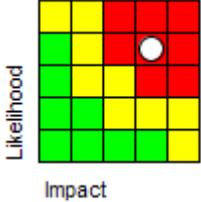
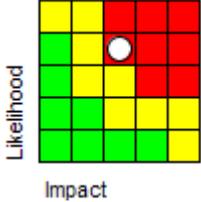
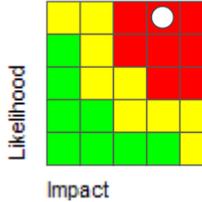
Risk Status	
	High Risk
	Medium Risk
	Low Risk



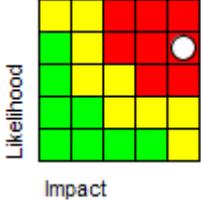
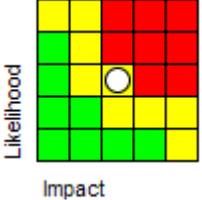
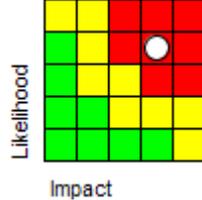
Status	Code	Previous Risk Score (July 2022)	Current Risk Score	Trend	Title
	SDC_CRR_018	20	20		Local Government Reorganisation
	SDC_CRR_003	16	16		Financial Resources
	SDC_CRR_000	16	16		Failure to deliver corporate priorities
	SDC_CRR_004	16	16		Organisational Capacity
	SDC_CRR_008	9	12		Economic Environment
	SDC_CRR_002	10	10		Health and Safety Compliance

Status	Code	Previous Risk Score (July 2022)	Current Risk Score	Trend	Title
	SDC_CRR_017	6	9		Managing Partnerships
	SDC_CRR_007	8	8		Fraud & Corruption
	SDC_CRR_006	6	6		Managing Customer Expectations
	SDC_CRR_014	6	6		Systems and Technology
	SDC_CRR_013	4	4		Information Governance/Data Protection
	SDC_CRR_001	3	3		Failure in Corporate Governance Arrangements

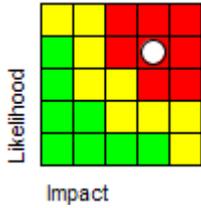
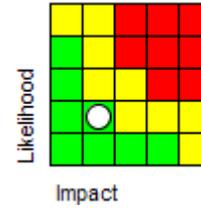
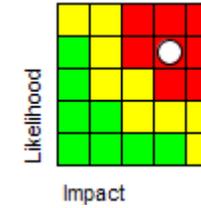
Status	Risk Score	Risk Title	Description		Risk Owner
	20	Local Government Reorganisation (SDC_CRR_018)	Failure to secure delivery of our priorities for the Selby district during the period leading up to and immediately following the commencement of the new unitary North Yorkshire Council in April 2023.		Chief Executive
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"> • 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 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>20</p>
Notes		Review Date
<p>Risk score unchanged.</p> <p>LGR is creating capacity challenges: some staff are leaving due to the uncertainty; it is difficult to recruit - also due to uncertainty; and, whilst, SDC is playing its full part in the LGR implementation workstreams, this work is taking some staff away from the day jobs.</p> <p>We are working with our NY partners to try and mitigate but all councils are struggling with recruitment and retention. Backfilling using existing staff is helping to mitigate some of the most critical risks.</p> <p>The People Plan has been re-focused to support staff through this significant change and we have increased levels of staff engagement.</p> <p>Whilst the Structural Changes Order provided helpful clarity in March, including confirming that SDC will end on 31 March 2023 and providing a legal basis for the May elections, one impact has been to increase the complexity of decision making where significant sums of money are being committed.</p> <p>The May elections have clarified much of the political uncertainty.</p> <p>The MTF5 has been refreshed 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>January 2023</p>

Status	Risk Score	Risk Title	Description	Risk Owner
	16	Financial Resources (SDC_CRR_003)	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>20</p>	 <p>9</p>	 <p>16</p>
Notes		Review Date
<p>No change to risk score as at the end of Q3 22/23. In year monitoring is forecasting small surpluses on both the General Fund and HRA driven by improved investment returns and staff vacancies. However, underlying risk from cost inflation and income pressures continue.</p> <p>A particular issue has arisen on the HRA capital programme with a large overspend forecast as a result of an increase in the number and complexity of void properties. Plans are being formulated to manage the risk within the HRA resources available.</p> <p>In year issues and risks have been included in the draft budgets being prepared for the new unitary council.</p>		<p>January 2023</p>

Status	Risk Score	Risk Title	Description	Risk Owner
	16	Failure to deliver corporate priorities (SDC_CRR_000)	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) 		

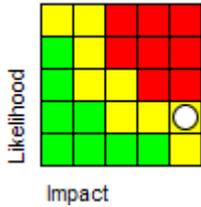
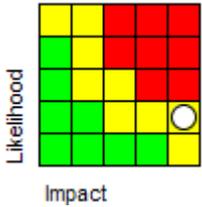
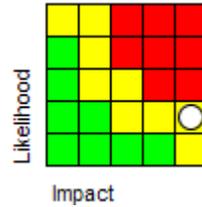
Risk Assessments			
Original Risk Rating	Target Risk Rating	Current Risk Rating	
 <p>16</p>	 <p>4</p>	 <p>16</p>	
Notes			Review Date
<p>No change to risk score Significant capacity challenge due to staff in key roles leaving. Working with NY partners to try and mitigate but all 8 councils are experiencing challenges</p>			January 2023

Status	Risk Score	Risk Title	Description	Risk Owner
	16	Organisational Capacity (SDC_CRR_004)	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>16</p>
Notes		Review Date
<p>No change to risk score.</p> <p>Significant capacity challenges due to combination of key staff leaving - partly due to uncertainty caused by LGR - and difficulty to recruit to key services such as planning and property services.</p> <p>We are working closely with NY colleagues to help mitigate but each council is facing similar challenges.</p> <p>Continuing to support staff through the key elements of the People Plan - around development and engagement.</p> <p>Significant push to ensure all staff have had a PDR - now over 90% and completed mandatory training.</p>		<p>January 2023</p>

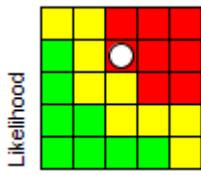
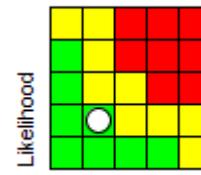
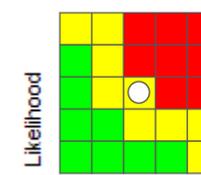
Status	Risk Score	Risk Title	Description	Risk Owner
	12	Economic Environment (SDC_CRR_008)	Poor net economic growth.	Director of Economic Regeneration and Place
Causes		<ul style="list-style-type: none"> • Selby District has performed well across a range of economic measures in recent times including 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;">12</p>
Notes		Review Date
<p>Investor confidence appears to still be strong and demand for industrial premises continues to outstrip supply, particularly for smaller units. Developers continue to bring forward major sites and are building large units speculatively. Town centre trading is also mostly strong in Selby and Sherburn, although Selby has seen some recent closures. Selby will also experience £28m of transformative investment in infrastructure and the public realm, with work starting on site in 2023.</p> <p>However, very high inflation and energy costs threaten the economic environment and consumer confidence and there remain significant challenges to accessing labour supply. This has the capacity to impact on growth and investment and a UK recession is expected. The likelihood of a decline in the economic environment is consequently shown as high in the latest risk rating.</p>		<p>January 2023</p>

Status	Risk Score	Risk Title	Description	Risk Owner
	10	Health and Safety Compliance (SDC_CRR_002)	Failure to comply with Health and safety legislation.	Director of Corporate Services & Commissioning
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
No change to risk score.				January 2023

Staff training carried out on first aid and fire marshals.	
Significant push for staff to complete mandatory H&S training.	
Risk identified around lack of fire warden for Civic Centre – to be addressed.	

Status	Risk Score	Risk Title	Description	Risk Owner
	9	Managing Partnerships (SDC_CRR_017)	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. 		

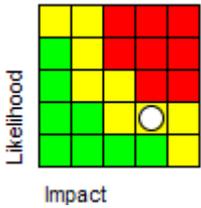
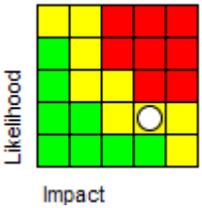
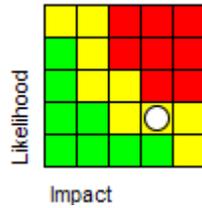
Risk Assessments		
Original Risk Rating	Target Risk Rating	Current Risk Rating
 <p>Likelihood</p> <p>Impact</p> <p>12</p>	 <p>Likelihood</p> <p>Impact</p> <p>4</p>	 <p>Likelihood</p> <p>Impact</p> <p>9</p>
Notes		Review Date

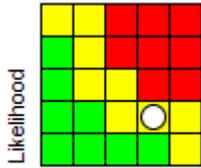
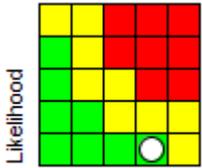
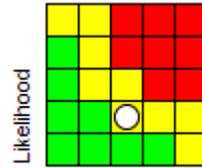
Current partnerships remain sound although with the Local Government Review due in April 2023, many partners are wanting to understand how to be involved to influence the shape and partnerships of the new authority but also to ensure that Selby as a locality is fully considered.

Mitigations include a communications and engagement workstream for LGR, regular briefings, partners involved in LGR workstreams. Each workstream completes a stakeholder engagement plan to ensure inclusion in design.

January 2023

Status	Risk Score	Risk Title	Description	Risk Owner
	8	Fraud & Corruption (SDC_CRR_007)	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 		

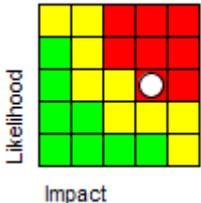
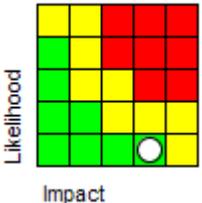
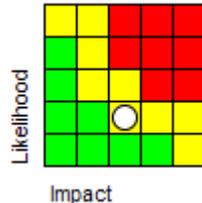
Risk Assessments			
Original Risk Rating	Target Risk Rating	Current Risk Rating	
 <p>8</p>	 <p>8</p>	 <p>8</p>	
Notes			Review Date
<p>No change to the risk score.</p> <p>The potential for fraud and corruption during the transition to the new council has been recognised and awareness training for staff has been provided.</p>			January 2023

Status	Risk Score	Risk Title	Description	Risk Owner
	6	Managing Customer Expectations (SDC_CRR_006)	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>Likelihood</p> <p>Impact</p>		 <p>Likelihood</p> <p>Impact</p>		 <p>Likelihood</p> <p>Impact</p>
8		4		6
Notes				Review Date
No change to risk score.				January 2023

New pod installed and MR4 configured to improve the customer services 'offer' at Selby Civic Centre and increase the availability of appointments.

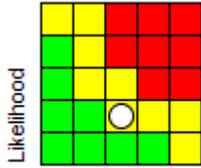
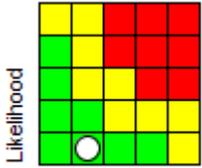
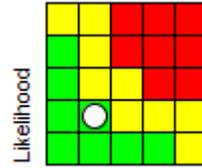
Further work needed - specifically a self service terminal/phone for customers - to ensure the Civic Centre fulfils the requirements of a locality hub for the new North Yorkshire Council.

Status	Risk Score	Risk Title	Description	Risk Owner
	6	Systems and Technology (SDC_CRR_014)	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. 		

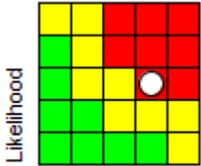
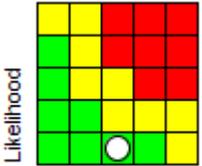
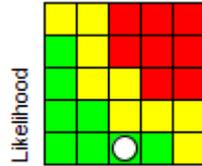
Risk Assessments		
Original Risk Rating	Target Risk Rating	Current Risk Rating
 <p>12</p>	 <p>4</p>	 <p>6</p>

Notes	Review Date
<p>No change to risk score</p> <p>BT arrangement with NYCC to provide IT infrastructure support renewed until June 2023.</p> <p>Microsoft 365 project complete - including extensive SharePoint and Teams training and enhanced security.</p> <p>Continue to ensure we are on the most up to date versions of software.</p> <p>PSN Certificate renewed February 2022.</p> <p>Engaging fully with LGR IT workstream.</p>	<p>January 2023</p>

Status	Risk Score	Risk Title	Description	Risk Owner
	4	Information Governance/Data Protection (SDC_CRR_013)	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 change to risk score.</p> <p>Mandatory training brought up to date for the majority of staff.</p>		January 2023

Status	Risk Score	Risk Title	Description	Risk Owner
	3	Failure in Corporate Governance Arrangements (SDC_CRR_001)	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;">Likelihood</p> <p style="text-align: center;">Impact</p>	 <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p>	 <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p>
12	3	3
Notes		Review Date
No change to risk profile from previous assessment.		January 2023