

Harrogate Borough Council Strategic Risk Register 2022/23 - December 2022

Risk Number:	SRR01		
Risk Level/Service:	Strategic, Strategic Risk Register, Strategic Risk Register 2022/23		
Risk Category:	Strategic		
Objective/Dependency /Deliverable:	Corporate Objectives (All)		
Risk Name:	SRR 2022/23 - Organisational Capacity		
Risk Description:	<ul style="list-style-type: none"> - Inability to deliver services - Failure to recruit and retain staff - Increased staff workload - Decreased staff morale - Risk of Increased stress /sickness levels - Increased staff turnover - Failure to achieve income/efficiencies required - Failure to implement the changes required to improve the organisation - Lack of skills and capacity to deliver projects - Inability to respond to and support major/minor emergency incidents - Lack of improvements in certain areas 		
Cause:	<p>The Council is facing a combination of different risks at the same time that impact on its ability to deliver services and fulfil its responsibilities prior to LGR. Business as usual must continue as well as undertaking a number of significant projects to deliver income/efficiencies (2024 programme).</p> <p>The risk incorporates the following factors:</p> <ul style="list-style-type: none"> • With the move towards LGR there is increased uncertainty amongst staff • Harrogate is an expensive place to live and work and the existing pay structure is not aligned with other authorities at present • There is difficulty in recruiting to all levels/services across the council and this is likely to increase until vesting day for the new council in April 2023 • The residual impact of EU transition on recruitment and retention • The ongoing impact of Covid19 on service delivery • The potential increasing impact of the war in Ukraine on workloads and capacity 		
Impact/Consequence:	<ul style="list-style-type: none"> - Delay In delivering statutory functions - Inadequate preparation for transition to the new council - Essential projects are not delivered - Responding to emergencies - Services require to be re-prioritised - Recruitment and retention issues in key areas - Financial consequences - Reputational impacts 		
Primary Owner:	Rachel Joyce	Secondary Owner:	Sarah Ridley
Controls			
<ol style="list-style-type: none"> 1. 1-2-1's with key managers monthly 2. Performance Clinics - meet 6 monthly commence in Oct for current financial year 3. Project prioritisation list has been agreed 4. Benefits realisation agreed/identified and three year Action Plan being developed 5. Management Board workshops to monitor progress 6. 1-2-1's with HOS 7. Service level Management Team meetings are held monthly to monitor progress 			

8. Workforce planning being undertaken with services	
9. LGR HR recruitment Protocol has been updated and communications strategy is on-going	
10. People Strategy has been developed and implemented, recruitment & retention key theme	
11. Recruitment protocol updated	
12. Recruitment cut-off date for district/borough councils has been agreed as 28 Feb	
Review, Report and Escalation Procedures:	- Review by Management Board (twice a year) - Review by Audit and Governance Committee (twice a year) - Progress monitored monthly

Risk Assessment

Net Score (Current)			
Total Impact	Likelihood	Total Assessment	Label
2 - Moderate	2 - Possible	4	Amber

Appetite Score			
Total Impact	Likelihood	Total Assessment	Label
2 - Moderate	2 - Possible	4	Amber

Risk Response:	Accept		
Overall Risk Owner Comments:	Risk reviewed on 6 December 2022	Last Assessment Date:	07/12/2022

Risk Number:	SRR02		
Risk Level/Service:	Strategic, Strategic Risk Register, Strategic Risk Register 2022/23		
Risk Category:	Strategic		
Objective/Dependency /Deliverable:	Corporate Objectives (All)		
Risk Name:	SRR 2022/23 - Risk of financial instability due to current financial climate		
Risk Description:	Failure to meet financial commitments in 2022/23, achieve a balanced budget for 2023/24 and meet current longer term commitments		
Cause:	<p>The Covid19 pandemic resulted in additional expenditure and significant reductions in income with a gross deficit of £10.2m in 2020/21, before government support of £7.8m, resulting in a net cost of £2.4m. The Financial Recovery Plan successfully identified a number of areas to address the net deficit and sufficient resources were available to achieve a balanced budget in 2021/22 and approved for 2022/23 for transition to the new council.</p> <p>There is a risk in the current climate of increased costs in 2022/23 due to the following:</p> <ul style="list-style-type: none"> - The continuing impact of Covid 19 and the reliance on income streams recovering - The potential residual effects of the EU transition - The uncertainty about the war in Ukraine - Increasing utility cost increases - Increased costs for goods - Increased costs to deliver services generally 		
Impact/Consequence:	<p>An increase in costs/financial commitments may lead to a reduction in expenditure or use of reserves to meet the shortfall.</p> <p>This has the following potential impacts:</p> <ul style="list-style-type: none"> - Financial shortfall in proposed HBC 2023/24 budget for new council - Project/programme delays/cancellation - Service reductions - Unable to achieve ambitions/objectives for transition to new council - Loss of staff - Reputational - Political 		
Primary Owner:	Rachel Joyce	Secondary Owner:	Paul Foster
Classification:	Economic		
Controls			
<ol style="list-style-type: none"> 1. 1-2-1 with CE 2. 1-2-1 with Director 3. A longer term approach (Two year) is taken for Service Planning and the Budget 4. Efficiency Plan in place and reviewed quarterly 5. Financial monitoring monthly (plus by exception) 6. On-going programme of reviews in progress including 2024 programme 7. Quarterly Management Board introduced dedicated to finance and performance 8. Head of Finance consulted/involved in all major financial discussions/decisions 9. Full review undertaken before spending decisions made on individual projects 10. Realistic assessment of Covid19 impacts undertaken with reassessment of anticipated service levels when business as usual 11. Review of working balance and reserves 12. RJ/PF involvement in major financial reviews 13. Balanced Budget 2022/23 approved by Cabinet/Council in February 2021 			
Review, Report and Escalation Procedures:	- Review by Management Board (twice a year) - Review by Audit and Governance Committee (twice a year) - Progress monitored monthly		

Risk Assessment

Net Score (Current)			
Total Impact	Likelihood	Total Assessment	Label
4 - Catastrophic	2 - Possible	8	Amber

Appetite Score			
Total Impact	Likelihood	Total Assessment	Label
4 - Catastrophic	2 - Possible	8	Amber

Risk Response:	Accept		
Overall Risk Owner Comments:	Reviewed on 6 December 2022	Last Assessment Date:	07/12/2022

Risk Number:	SRR03		
Risk Level/Service:	Strategic, Strategic Risk Register, Strategic Risk Register 2022/23		
Risk Category:	Strategic		
Objective/Dependency /Deliverable:	Corporate Objectives (All)		
Risk Name:	SRR 2022/23 - ICT resilience and capacity to support services/Projects and to support a DR Plan		
Risk Description:	<ul style="list-style-type: none"> - Lack of support for Services/Projects and associated savings/income work packages/projects - insufficient capacity to support services/projects 		
Cause:	There is reliance on the limited number of resources within the service to have the knowledge of the diverse and complex ICT systems and supporting infrastructure, which can be impacted by absence, recruitment and retention challenges and issues.		
Impact/Consequence:	<ul style="list-style-type: none"> - Projects are not delivered - Services are not supported - Savings/income is not achieved 		
Primary Owner:	Rachel Joyce	Secondary Owner:	Claire Warren
Additional Owners:	Andrew Jarvis		
Classification:	Technological		

Controls

1. 1-2-1 with CE
2. 1-2-1 with Director
3. Approved ICT Strategy in place with Chief Executive as SRO
4. ICT Service managers meetings held monthly
5. Overall work prioritisation and resource allocation
6. Technical Assurance role seconded from NYCC prior to LGR provides potential route for resilience
7. Overall ICT work programme has been developed
8. 1-2-1's with all members of the team held monthly
9. Improved engagement activities with all service heads and service plan process
10. Highlighted the need for earlier interaction with the service to the Managements team
11. Manage absence in line with the corporate process and back fill where required including the use of external resources
12. Secured the approval of a rolling 5 years capital programme now in place that includes additional resource capacity where required
13. Interim network management service in place
14. Improved the levels of the automated failover between our two data centres that provides connectivity to and from our remote sites
15. Established resilient access to Public Services network (PSN) from both Civic HQ band VCP data centres.
16. ICT increased the remote working systems and connectivity to successfully support the move to facilitate the maximum number of staff working at home
17. Structure review completed and shared arrangements with NYCC staff to ensure resilient structure as we lead up to LGR

Review, Report and Escalation Procedures:	- Review by Management Board (twice a year) - Review by Audit and Governance Committee (twice a year) - Progress monitored monthly
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Risk Assessment

Net Score (Current)			
Total Impact	Likelihood	Total Assessment	Label
3 - Severe	2 - Possible	6	Amber
Appetite Score			
Total Impact	Likelihood	Total Assessment	Label
3 - Severe	2 - Possible	6	Amber
Risk Response:	Accept		
Overall Risk Owner Comments:	Reviewed on 18 November 2022	Last Assessment Date:	17/11/2022

Risk Number:	SRR04
Risk Level/Service:	Strategic, Strategic Risk Register, Strategic Risk Register 2022/23
Risk Category:	Strategic
Objective/Dependency /Deliverable:	Corporate Objectives (All)
Risk Name:	SRR 2022/23 - Disaster recovery plan
Risk Description:	<ul style="list-style-type: none"> - Failure to have a Disaster Recovery Plan - Failure to resource/support agreed DR Plan - Failure to ensure that the plan is coordinated with Services - Failure to deliver agreed services within timescales - Failure to test plan
Cause:	The council may need to recover from a disaster situation or individual services may need to recover from service specific recovery situations. There is no guaranteed Out of Hours ICT response with reliance on a limited number of people. Current response relies on reporting incidents and e-team/HBC Standby Out of Hours procedures
Impact/Consequence:	<ul style="list-style-type: none"> - The council cannot/ is delayed significantly if there is a disaster recovery situation - Service failure/disruption - Significant Financial implications - Reputational - Effect on customers who may suffer hardship
Primary Owner:	Rachel Joyce
Secondary Owner:	Claire Warren
Additional Owners:	Andrew Jarvis
Classification:	Technological

Controls

1. Report to Chief Executive on Business Continuity/ Emergency Planning issues at Director 1-2-1
2. lessons learnt exercises undertaken
3. New secondary DR data centre site has been established at Victoria Car Park
4. Robust and resilient network infrastructure now in place as part of the new office accommodation programme
5. Disaster Recovery Plan is currently being reviewed in line with all Service areas
6. Disaster Recovery Plan is currently being reviewed in line with all Service areas
7. Improved levels of internet and Wi-Fi resiliency established through the new HQ data centre and DR data centre site design and deployment
8. Improved back up check point and verification process has been established
9. Alarm systems are linked to power and Air Conditioning – managed by PS/FM Services
10. Maintenance contract for generator is in place – managed by PS/FM Services
11. Improved UPS platform in place with both data centres and the HQ Hub areas
12. Raised the need to review out of hours arrangements as part of the wider BC/DR review process as it impacts other service areas
13. Improved working relationships established with FM, and looking to establish a regular review/meeting process to maintain the collaborative approach
14. Established resilient access to Public Services network (PSN) from both Civic HQ band VCP data centres.
15. Further improved our failover processes to provide and maintain ICT services from VCP should we lose or turn the power off to the main DC within the HQ
16. Repeat successful tests have been undertaken and also in live situations to facilitate M&E work within the HQ or datacentres that has involved moving all live services from VCP or the HQ and running without either site being available , and with no disrupt
17. Emergency planning exercises undertaken that cover disaster recovery, the most recent being one specifically on cyber security (which has its own risk at SRR07 in May 2021). Further test planned for September
18. ICT DR & BCP plans are currently being reviewed and updated
19. Working with EP colleagues and Service area leads to establish prioritised system recovery information to help inform and to further revise the Councils and ICT DR planning/plans

Review, Report and Escalation Procedures:	- Review by Management Board (twice a year) - Review by Audit and Governance Committee (twice a year) - Progress monitored monthly
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Risk Assessment

Net Score (Current)			
Total Impact	Likelihood	Total Assessment	Label
3 - Severe	2 - Possible	6	Amber

Appetite Score			
Total Impact	Likelihood	Total Assessment	Label
3 - Severe	2 - Possible	6	Amber

Risk Response:	Accept		
Overall Risk Owner Comments:	Reviewed On 18 November 2022	Last Assessment Date:	17/11/2022

Risk Number:	SRR05		
Risk Level/Service:	Strategic, Strategic Risk Register, Strategic Risk Register 2022/23		
Risk Category:	Strategic		
Objective/Dependency /Deliverable:	Corporate Objectives (All)		
Risk Name:	SRR 2022/23 - Risk of increase in access to homeless services		
Risk Description:	<ul style="list-style-type: none"> - Risk of increased numbers of homeless within the district - Risk of Increased costs - Failure to undertake statutory duties - Lack of temporary accommodation - Inability to recruit qualified staff 		
Cause:	<p>Increasing homelessness is recognised nationally, house prices are high in the District and there is reliance on a low paid workforce. NYCC have ceased their homelessness support in the area and transferred funding to HBC to cover additional service provision for up to five years</p> <ul style="list-style-type: none"> • Due to the Covid 19 Pandemic there are significant impacts for individuals affecting the ability to pay rents/mortgages • There are significant cost of living increases that are predicted to get worse • There have been significant price increases in utility costs • There is a lack of availability of rental accommodation generally 		
Impact/Consequence:	<ul style="list-style-type: none"> - Financial (additional costs) - Increased service/support - Increased hardship for those who are homeless - Visible signs of homelessness - Reputational - Legal implications 		
Primary Owner:	Trevor Watson	Secondary Owner:	Madeleine Bell
Additional Owners:	Margarita Gibson		
Classification:	<ul style="list-style-type: none"> Economic Political/Reputational Sociological Service/Project 		
Controls			
<ol style="list-style-type: none"> 1. Viability discussions with developers regarding affordable housing quotas on qualifying new build sites 2. Intervention where possible with long term empty properties 3. Review of procedures/policies for the management of temporary accommodation 4. Construction of temporary accommodation at Spa Lane 5. HBC House-building programme on-going 6. Incorporation of housing company to support social housing particularly shared ownership properties 7. Service review being undertaken around how homelessness is being dealt with including the implications of Universal Credit and areas where numbers have risen 8. Separate Harrogate Housing Strategy being developed for adoption 9. Government grant received 10. Provision of specialist move on accommodation with potential additional accommodation in the future 11. Additional staff TUPE transferred to provide support 12. Work with landlords to access private rented properties 13. Negotiation and mediation with landlords to enable tenants to remain in their home 14. Harrogate and Craven Development Partnership 			
Review, Report and Escalation Procedures:	<ul style="list-style-type: none"> - Review by Management Board (twice a year) - Review by Audit and Governance Committee (twice a year) - Progress monitored monthly 		

Risk Assessment

Net Score (Current)			
Total Impact	Likelihood	Total Assessment	Label
3 - Severe	3 - Likely	9	Amber

Appetite Score			
Total Impact	Likelihood	Total Assessment	Label
3 - Severe	3 - Likely	9	Amber

Risk Response:	Accept		
Overall Risk Owner Comments:	Reviewed On 18 November 2022	Last Assessment Date:	17/11/2022

Risk Number:	SRR06		
Risk Level/Service:	Corporate Affairs, Finance, Audit services Strategic, Strategic Risk Register, Strategic Risk Register 2022/23		
Risk Category:	Strategic		
Objective/Dependency /Deliverable:	Corporate Objectives (All)		
Risk Name:	SRR 2022/23 Fraud and Error		
Risk Description:	Increased risk of fraud and error: - Single Person Discount - Procurement - Benefits - Grants - Weakened internal processes/procedures - Generally		
Cause:	Fraud is potentially occurring undetected internally and externally, there is an increase in this risk due to the following: - Significant homeworking across services and changes to existing controls - Increased workloads due to recruitment and retention issues potentially leading to weakened controls - Significant cost of living increases for HBC staff with the potential for fraud to increase - Lack resources to investigate potential fraud in key areas due to other priorities - Changes in working practices as the transition to LGR progresses with the potential for weakened controls and increased opportunities for fraud - Increased workload for IA due to work associated with grants, benefits LGR, etc - External factors such as the impact of Covid 19 and the war in Ukraine increasing workloads and potentially weakening controls		
Impact/Consequence:	- Unknown financial impact - Reputational damage		
Primary Owner:	Rachel Joyce	Secondary Owner:	Paul Foster
Classification:	Economic		
Controls			
<ol style="list-style-type: none"> 1. Anti-Fraud and Corruption Strategy 2. Whistleblowing Direct Line 3. Annual governance review for AGS. This is reported to MB and A&G Committee 4. Review of council compliance with the CIPFA Code for Managing the Risk of Fraud and Corruption 5. Whistleblowing policy in place 6. Financial Procedure Rules and Contract Procedure Rules are in place 7. Annual review of governance arrangements across the council as part of the AGS includes the consideration of fraud 8. Accredited fraud investigation capacity available/developed within Internal Audit 9. Joint work commenced with Scrutiny Governance and Risk Manager and Audit Services and Fraud Manager to assess fraud risks 			
Review, Report and Escalation Procedures:	Reviewed monthly at 1-2-1's with IA Staff 1-2-1's with HOS Any change Escalated to HOS A&G, RJ and WS		

Risk Assessment

Net Score (Current)			
Total Impact	Likelihood	Total Assessment	Label
3 - Severe	2 - Possible	6	Amber
Appetite Score			
Total Impact	Likelihood	Total Assessment	Label
3 - Severe	2 - Possible	6	Amber
Risk Response:	Accept		
Overall Risk Owner Comments:	Reviewed on 6 December 2022	Last Assessment Date:	17/11/2022

Risk Number:	SRR07		
Risk Level/Service:	Strategic, Strategic Risk Register, Strategic Risk Register 2022/23		
Risk Category:	Strategic		
Objective/Dependency /Deliverable:	Strategic Risk		
Risk Name:	SRR 2022/23 - Cyber Security/Cyber Risk		
Risk Description:	- Failure to deal with Ransomware/other attacks - Failure to report data breach to ICO - Weaknesses in supplier security arrangements		
Cause:	There is a known increasing risk in cybercrime and it is one of the top 5 risks nationally. There is an increased cyber security risk due to the Covid pandemic and staff predominantly working from home. The National Cyber Security Centre (NCSC) has also recently indicated that following Russia's attack on Ukraine there is now a heightened threat.		
Impact/Consequence:	<ul style="list-style-type: none"> - Cyber-attacks, loss/disruption to services - Increased risk of cyber fraud for claims for benefits, grants, etc - Unknown financial impact - Data breach implications - Reputational damage 		
Primary Owner:	Rachel Joyce	Secondary Owner:	
Classification:	Service/Project		
Controls			
<ol style="list-style-type: none"> 1. Information Governance Framework updated (on-going) 2. Security breaches are dealt with promptly and action reported to the IGG 3. IGG Group meets Bi-monthly and considers cyber security/breaches 4. E-mails are scanned and large files sent through Egress 5. Back-ups are done automatically 6. Cyber security sessions are held with ICT teams 7. PSN Compliance -last certificate was issued in June 2021 and is valid for a year. Re-accreditation process underway - Independent Health Check scans done January, remedial actions being tracked/worked on to submit for certification assessment in June 2022 8. PCI Compliant and continuing with regular scans and remedial action to ensure compliance is retained 9. Breaches are promoted to staff and lessons learnt evaluation undertaken 10. Audit Report Completed 11. Updated ICT User policy communicated to staff (on-going) 12. Review of logging solution is being undertaken 13. End-user training/awareness is being assessed – working with NYCC to develop MYLO based training and awareness course 14. Secured the approval of a rolling 5 years capital programme that will include additional and Cyber based training of ICT staff 15. Increased tests for phishing and other cyber attacks through e-mails to staff. Follow up training/information to staff opening identified e-mails on test 16. Simulated Management Team Cyber incident taken place with Emergency Planning colleagues, lessons learnt exercise being undertaken and Disaster Recovery Plan being updated. 17. Reviewed and implemented a revised patching regime for server and desktop estate. 18. Increased the frequency of all staff/member emails to help maintain the need to be vigilant when working on line. 19. Extended the number of ICT staff who attend the regional Warp group & developing cyber based skills and knowledge within the service. 20. Raised the cyber to a more corporate level risk/action as part of an ICT audit action plan, working with EP and Audit colleagues, and also working with EP to craft and take a paper to MB/MT around this risk and suggested mitigations 21. Planned installation of new corporate Firewalls as part of a phased replacement programme for the remainder of 21/22 and during 22/23 which will introduce additional layers of protection to the Council network and systems against Cyber Additional change 			

Review, Report and Escalation Procedures:	Reviewed monthly at: - 1-2-1's with IA Staff - 1-2-1's with HOS Any change is Escalated to HOS A&G, RB and WS
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Risk Assessment

Net Score (Current)			
Total Impact	Likelihood	Total Assessment	Label
4 - Catastrophic	2 - Possible	8	Amber

Appetite Score			
Total Impact	Likelihood	Total Assessment	Label
4 - Catastrophic	2 - Possible	8	Amber

Risk Response:	Accept		
Overall Risk Owner Comments:	Reviewed on 18 November 2022	Last Assessment Date:	17/11/2022

Risk Number:	SRR08		
Risk Level/Service:	Strategic, Strategic Risk Register, Strategic Risk Register 2022/23		
Risk Category:	Strategic		
Objective/Dependency /Deliverable:	All Strategic Objectives		
Risk Name:	SRR 2022/23 - Local Government Devolution		
Risk Description:	Inadequate preparations (and the consequences of) the establishment of new local government reorganisation arrangements in North Yorkshire cover the impact of it not happening, the 'asks' not having significant benefit for the district and the governance arrangements not having a strong district voice.		
Cause:	Local Authorities within North Yorkshire and York have been engaged in discussions with Government around a possible Devolution deal for the area. Devolution is the transfer of power and funding from national to local government and potentially the creation of a directly elected Mayor. Harrogate Council submitted a specific ask for grant funding support for the redevelopment of HCC. Alongside the series of 'Asks' Government will require a robust governance structure for the region which will give them confidence to pass on their powers and funding directly to the region in the knowledge that sound and effective decision-making process can occur for the locality Government have confirmed that they consider the strongest governance model to be a combined authority with a Mayor and that such a structure would attract the greatest level of funding and powers to the region. In February 2022 the government published the 'Levelling Up White Paper' with a commitment to negotiate a Mayoral Combined Authority Deal for York & North Yorkshire The constituent authorities agreed to proceed to a public consultation that runs from 21 October 2022 closing on 16 December 2022. The consultation provides the opportunity for residents to inform the priorities for the proposed devolution deal for York and North Yorkshire, and how it will be implemented. The risk associated with the reorganisation of local government within York and North Yorkshire to facilitate a combined authority with a Mayor is a separate Strategic Risk(SRR10)		
Impact/Consequence:	Impact for the district of devolution not happening - The 'asks' not being achieved and not having significant benefit for the district - The governance arrangements not having a strong district voice.		
Primary Owner:	Wallace Sampson	Secondary Owner:	Trevor Watson
Classification:	Economic Political/Reputational		
Controls			
<ol style="list-style-type: none"> 1. Additional resource will be brought in to support management and delivery of the new authority programme, where required 2. Additional resources are expected to be required during implementation 3. Clear delivery plan and operating model agreed 4. Members will work together through an Implementation Board and play a significant role in leading the LGR process 5. Discussion required between Council Leaders on finances 6. Internal officer group will ensure shadow of all devolution "asks" where relevant to Harrogate 7. Internal project team in place that meets monthly 			
Review, Report and Escalation Procedures:	- Review by Management Board (twice a year) - Review by Audit and Governance Committee (twice a year) - Progress monitored monthly		

Risk Assessment

Net Score (Current)			
Total Impact	Likelihood	Total Assessment	Label
2 - Moderate	2 - Possible	4	Amber

Appetite Score			
Total Impact	Likelihood	Total Assessment	Label
2 - Moderate	2 - Possible	4	Amber

Risk Response:	Accept		
Overall Risk Owner Comments:	HCC was not included as a devolution ask and as a result there is nothing that is Harrogate specific in the deal. The impact score has therefore been downgraded. Reviewed on 6 December 2022	Last Assessment Date:	07/12/2022

Risk Number:	SRR09		
Risk Level/Service:	Strategic, Strategic Risk Register, Strategic Risk Register 2022/23		
Risk Category:	Strategic		
Objective/Dependency /Deliverable:	All Strategic Objectives		
Risk Name:	SRR 2022/23 - Local Authority Controlled Company (LACC)		
Risk Description:	Inadequate operational arrangements and performance of Brimham's Active - LACC		
Cause:	The Council has established a wholly owned company to operate its' leisure/other services. Brimhams Active became operational from 1 August 2021.		
Impact/Consequence:	<ul style="list-style-type: none"> - Inadequate operational performance - Inadequate performance monitoring/management arrangements and oversight by HBC - lower than anticipated income - Lack of/inadequate specialist tax advice to achieve anticipated financial benefits to HBC - Inadequate/lack of appropriate operational/other policies/arrangements - Inadequate HBC funding arrangements - Inadequate Service Level Agreements provided by HBC (and provision of the services from departments) to enable the effective working relationships to deliver high quality responsive support services to the LACC - Inadequate governance arrangements and structures 		
Primary Owner:	Trevor Watson	Secondary Owner:	
Classification:	Economic Political/Reputational		
Controls			
<ol style="list-style-type: none"> 1. 1-2-1's with key managers monthly 2. Audit to work closely with the LACC in year one to develop and embed robust governance processes and procedures shifting to a formal internal audit role beyond year one 3. HBC Relationship Manager post / function 4. Appropriate capacity and capability in place within the Brimhams Active Board and senior management team , completing the recruitment of Executive and non-Executive Directors and maintaining a Company Secretary function 5. Brimhams Active Strategic Risk register established with risks managed through theme groups and escalation processes to the Board 			
Review, Report and Escalation Procedures:	- Review by Management Board (twice a year) - Review by Audit and Governance Committee (twice a year) - Progress monitored monthly		

Risk Assessment

Net Score (Current)			
Total Impact	Likelihood	Total Assessment	Label
2 - Moderate	2 - Possible	4	Amber

Appetite Score			
Total Impact	Likelihood	Total Assessment	Label
2 - Moderate	2 - Possible	4	Amber

Risk Response:	Accept		
Overall Risk Owner Comments:	Reviewed on 18 November 2022	Last Assessment Date:	17/11/2022

Risk Number:	SRR10
Risk Level/Service:	Strategic, Strategic Risk Register, Strategic Risk Register 2022/23
Risk Category:	Strategic
Objective/Dependency /Deliverable:	All Strategic Objectives
Risk Name:	SRR 2022/ 23 - Local Government Reorganisation
Risk Description:	Inadequate preparations (and the consequences of) the establishment of new local government reorganisation arrangements in North Yorkshire
Cause:	The decision to implement a unitary (one-tier) council in North Yorkshire has been made. This will be a single unitary authority on the footprint of the existing administrative county, to operate alongside the existing unitary City of York Council. The Structural Changes Order was laid before Parliament in January 2022, and the new authority will be called North Yorkshire Council. There will be 90 new councillors representing 89 divisions across the county. Elections to the new council will take place in May 2022 with councillors serving one year as county councillors for the existing North Yorkshire County Council and then continue on for another four years as councillors for the new authority. District and borough councillors will continue in their current capacity until April 2023. The new council will come into effect in April 2023, with transitional arrangements operating in 2022-23.
Impact/Consequence:	<ul style="list-style-type: none"> - Staff capacity, During Covid-19 staff capacity has been significantly reduced, meaning that the ability to support transitional arrangements to the required level of quality is hampered, whilst recovering from the pandemic - Workforce stability and loss of key staff, There will be a requirement for key staff to support transitional arrangements for the new authority. There will also be a further risk in losing key staff during the uncertainty created by transitional arrangements. Retention of key HBC staff during the transition is critical to the long-term success of the new authorities and continuity of existing services during transition - Loss of local knowledge and expertise in local service delivery within HBC risks a significant reduction in the overall level of service provided by local government in North Yorkshire - Potential disruption to existing HBC/NYCC/York service delivery during implementation - Benefits realisation, If there is incomplete integration of current HBC teams and any new authority including ways of working then there is a risk that estimated benefits may not be realised - Data management and cyber security, If appropriate procedures are not in place between HBC and all other organisations then there will be the potential for noncompliance with data regulations and cyber-attacks. - Political stability Each of the Councils has a different political context, and there are varying levels of political support for LGR. During the Joint Committee and Shadow Authority phase there will be complexity in achieving strategic alignment between members - Trade Unions/ industrial relations - Financial management, Coordination of current HBC financial priorities/commitments prior to reorganisation with the financial assumptions of the new authority <p>Other HBC specific impacts:</p> <ul style="list-style-type: none"> - Complex governance arrangements will be in place, with potential dual roles for Members and Officers - Coordination of work/service planning with shadow/new authority and work streams - Coordination of communications with staff, media, etc

	<ul style="list-style-type: none"> - Additional resources, there may be some increased pressure in some services to support transitional arrangements such as HR to support reviews, consultations staff support , etc - Capacity to deliver business as usual - Capacity to deliver key corporate projects and programmes of work - - Loss of staff due to uncertainty - Structural change order decisions in relation to funding of capital projects - Ability to participate in and influence implementation plans 		
Primary Owner:	Wallace Sampson	Secondary Owner:	Rachel Joyce
Classification:	Economic Political/Reputational		
Controls			
<ol style="list-style-type: none"> 1. Additional resource will be brought in to support management and delivery of the new authority programme, where required 2. Workshops held to develop relationship building and building a common understanding of the current state prior to decision being made. 3. Baseline activity undertaken using a common approach across all nine authorities prior to a decision being made. 4. A Joint Committee phase prior to shadow authorities will allow interim leadership teams for 'constituent authorities to establish common ways of working 5. The people process will include a significant element of comms and engagement with staff, as well as open and honest engagement with trade unions. 6. Staff communications will include a compelling vision for the future 7. Locality Committees to be established on current District boundaries, allowing for smooth transition and avoiding sudden loss of local understanding. 8. Parish & Town Councils representing local communities and making local voices stronger 9. Districts and York must play a key role in design of new services to help ensure integration of County, Unitary and District services. Service continuity workshops will have significant District input 10. Seek to keep core of staff focused on the local areas that they currently work within 11. High level service planning taken place on implementation approach for key services, Day 1 Planning focused on service continuity with only essential changes made prior to creation of new authorities 12. Additional resources are expected to be required during implementation 13. Service continuity workshops will ensure that Day 1 service requirements are understood and planned for well in advance of vesting date 14. Long term planning will seek to deliver the best of current services 15. Clear delivery plan and operating model agreed 16. Benefits tracking to be in place throughout the implementation. 17. Appropriate expertise will be engaged during the programme, at the planning stage, and throughout as required 18. Members will work together through an Implementation Board and play a significant role in leading the LGR process 19. Open and proactive trade union engagement will be a core part of the comms and engagement plan 20. Discussion required between Council Leaders on finances 			
Review, Report and Escalation Procedures:	- Review by Management Board (twice a year) - Review by Audit and Governance Committee (twice a year) - Progress monitored monthly		

Risk Assessment

Net Score (Current)			
Total Impact	Likelihood	Total Assessment	Label
2 - Moderate	2 - Possible	4	Amber

Appetite Score			
Total Impact	Likelihood	Total Assessment	Label
2 - Moderate	2 - Possible	4	Amber

Risk Response:	Accept		
Overall Risk Owner Comments:	Reviewed on 6 December 2022	Last Assessment Date:	07/12/2022

Risk Number:	SRR22/23-001		
Risk Level/Service:	Strategic, Covid 19 Pandemic Strategic, Strategic Risk Register, Strategic Risk Register 2022/23		
Risk Category:	Strategic		
Objective/Dependency /Deliverable:	All Strategic Objectives		
Risk Name:	SRR 2022/23 - Coronavirus		
Risk Description:	Inadequate preparation for living with Covid in accordance with government guidance		
Cause:	The spread of the Coronavirus pandemic that will have significant impacts on staff, residents and businesses in the district		
Impact/Consequence:	<ul style="list-style-type: none"> - Symptoms/Illness to members of staff - Reduced levels of staff to provide services - Symptoms/Illness to members of the public - Reduced services particularly statutory duties - Reduced ability to support partnership arrangements - Reduced ability to support government initiatives/support 		
Primary Owner:	Wallace Sampson	Secondary Owner:	Rachel Joyce
Classification:	Economic Legislation Political/Reputational Sociological Service/Project		
Controls			
<ol style="list-style-type: none"> 1. 1-2-1's with HOS 2. Risk assessments updated in line with government guidance 3. All Covid guidance has been updated in line with government guidance 4. Hybrid working policy rolled out in September 2022 5. Covid Community and Economic working group final report brought to Man board/O&S/Cabinet in June 			
Review, Report and Escalation Procedures:	- Review by Management Board (twice a year) - Review by Audit and Governance Committee (twice a year) - Progress monitored monthly		

Risk Assessment

Net Score (Current)			
Total Impact	Likelihood	Total Assessment	Label
2 - Moderate	2 - Possible	4	Amber

Appetite Score			
Total Impact	Likelihood	Total Assessment	Label
2 - Moderate	2 - Possible	4	Amber

Risk Response:	Accept		
Overall Risk Owner Comments:	Reviewed on 6 December 2022	Last Assessment Date:	07/12/2022

Risk Number:	SRR11
Risk Level/Service:	Strategic, Strategic Risk Register, Strategic Risk Register 2022/23
Risk Category:	Strategic
Objective/Dependency /Deliverable:	All Strategic Objectives
Risk Name:	SRR 2022/23 - War in Ukraine
Risk Description:	Inadequate preparations for the impacts of the war in Ukraine
Cause:	The war in Ukraine has caused significant impacts to individuals and organisations. The council will be required to deal with the implications and take mitigating actions. The Government has also launched the Homes for Ukraine sponsorship scheme whereby households and organisations in the UK can offer to sponsor and host guests (evacuees) from the war in Ukraine. There are a number of significant risks, unquantifiable at present. These risks will last for at least three years (the length of the visas to be issued by the Government to the guests) and potentially beyond if guests remain after the three years. The numbers of guests that may arrive in the county is unknown and the Government has said that the numbers of guests who will be welcomed will not be limited. The initial guidance is not specific about whether certain roles are the responsibility of county or district and borough councils. Local authorities will be given a one-off payment of £10,500 per guest and will be reimbursed for paying sponsors £350 per month per residential address for up to 12 months.
Impact/Consequence:	<p>A. Housing - Housing risks for the Homes for Ukraine scheme include the following:</p> <ul style="list-style-type: none"> - Increased housing resources - Accommodation checks - Checks on sponsors - Ensuring the provision of wrap around support to evacuees - Managing the impacts of any breakdowns of sponsorship arrangements (including any safeguarding issues and providing alternative accommodation - Care/safety of guests (they will be traumatised) - Lack of available accommodation <p>B. Financial - Financial risks for the Homes for Ukraine scheme include the following:</p> <ul style="list-style-type: none"> - Insufficient funding from central government to cover costs for the Homes for Ukraine scheme - Increased support to households housing refugees as part of the support the Homes for Ukraine scheme including making payments to sponsors and consideration of Council Tax single person discounts - Increased support to refugees including making initial payments - Lack of clarity about which local authorities (upper or lower tier) will receive central government payments. There is a financial risk as the full scale of the costs and the funding arrangements are still to be worked through and clarified with potential additional costs to the Council in the medium term - Increased impacts of rise in cost of living - Fraud (single person discount, grants, benefits and other areas of the council in general) - Increased benefit claims <p>C. Technology/Cybersecurity - The National Cyber Security Centre (NCSC) has recently indicated that following Russia's attack on Ukraine there is now a heightened threat. There is also an increased risk with</p>

	<p>employees working from home, Increased cyber-attacks, loss/disruption to services</p> <p>D. Energy/Utilities - Increased energy costs leading to rising corporate utility costs, particular service impacts in PES</p> <p>E. Procurement/Supply Chain</p> <ul style="list-style-type: none"> - Increased cost of construction materials, which could impact upon our capital projects - Increased cost and availability of supplies as a knock on effect from oil and other price increases - Identified increased supply costs, PES - Cost of black boxes <p>F. Other Risks</p> <ul style="list-style-type: none"> - Increased resource requirements - Lack of kennel availability - Increased food costs could have an impact on environmental health as food outlets could start to utilise lower quality ingredients and/or have an impact on food preparation - Increased risk of exploitation and potential for modern slavery - Lack of Fuel availability, to HBC and to residents/businesses - Increased community tension 		
Primary Owner:	Wallace Sampson	Secondary Owner:	Rachel Joyce
Additional Owners:	Trevor Watson		
Classification:	Economic Legislation Political/Reputational Sociological Service/Project		
Controls			
<ol style="list-style-type: none"> 1. 1-2-1 with Director 2. 1-2-1's with HOS 3. Service management team meetings 4. North Yorkshire Risk assessment Group meetings 5. LRF Meetings 6. Officers of the District, Borough and County Councils are meeting regularly to coordinate activities and work together to provide a seamless service to sponsors and guests. 7. Financial updates will be included within the finance and performance update reports throughout 2022/23 8. The sufficiency of Government funding is reviewed monthly 			
Review, Report and Escalation Procedures:	Reviewed by Management Board		

Risk Assessment

Net Score (Current)			
Total Impact	Likelihood	Total Assessment	Label
2 - Moderate	2 - Possible	4	Amber
Appetite Score			
Total Impact	Likelihood	Total Assessment	Label
2 - Moderate	2 - Possible	4	Amber
Risk Response:	Accept		
Overall Risk Owner Comments:	Reviewed on 6 December 2022	Last Assessment Date:	06/12/2022