**NORTH YORKSHIRE COUNTY COUNCIL**

**AUDIT COMMITTEE**

**11 December 2023**

**RISK MANAGEMENT – PROGRESS REPORT**

**Report of the Corporate Director – Strategic Resources**

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1.0 **PURPOSE OF THE REPORT**

1.1 To receive details of the Corporate Risk Register for the unitary Council, the links between Directorate Risk Registers and the Corporate Risk Register and an analysis of the risk categories across the Corporate and Directorate levels.

1.2 To note progress on other Risk Management related matters.

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2.0 **BACKGROUND**

2.1 According to the Terms of Reference of the Audit Committee, its role in risk management is:

(i) to assess the effectiveness of the Council's risk management arrangements and

(ii) to review progress on the implementation of risk management throughout the Council.

2.2 Regular reports to this Committee therefore cover the implementation of the Policy as well as other related risk management matters in order to fulfill this role.

3.0 **RISK MANAGEMENT POLICY AND PROCEDURES**

3.1 In preparation for vesting day in April this year, the Risk Management Policy for the new Council was developed. Alongside the Policy, a set of Procedures were developed to set out the organisational arrangements, and the related components and processes that help achieve best practice in the management of risk. These Procedures also ensure that the objectives and principles set out in the Council's Risk Management Policy can be met. It does this by providing the foundations for the design, implementation, monitoring, and review of strategic risk management throughout North Yorkshire Council.

3.2 The Risk Management Policy was approved by Full Council on 22 February 2023 on recommendation by the Executive.

3.3 The Risk Management Procedures have been put into practice since April and are used as the base on which risk management is implemented throughout the Council, including the Corporate Risk Register.

4.0 **CORPORATE RISK REGISTER**

4.1 The Corporate Risk Register (CRR) has been fully revised this year by the Chief Executive and Management Board in October/November. A six monthly review will be carried out in March/May. It has been challenging again this year to sustain the usual timetable for reviewing and updating all risk registers. This is due to the extra Directorate called Community Development and extra Service registers following Local Government Reorganisation and the ongoing restructuring of the Council workforce.

4.2 Since the last report to this Committee on risk management, the Register attached at **Appendix A** reflects the risks presently facing the unitary Council. The development of the register has involved reviewing existing risks, the risk controls, risk reductions and risk rankings that had been identified, and making amendments to those risks where necessary. Risks for the new unitary Council have also been considered and included where appropriate.

4.3 To assist Members interpret **Appendix A**

> Risks are identified by Management Board during a prep meeting and further discussion

> Each risk has then to be ranked based on the following:

>> existing risk controls in place

>> probability of the risk occurring (based on existing controls)

>> impact of the risk occurring (based on existing controls)

>> further risk reduction actions which may reduce current probability or impact

> The Council now uses a 5x5 risk assessment ranging from very low to very high in terms of both likelihood and impact. Once the likelihood and impact for a risk have been assessed, the risk scoring is calculated. The following table shows the scoring, assessment and suggested required actions:

| Colour | Score | Assessment | Required Action |
|--------|-------|------------|-----------------|
| | 1 - 2 | **Very Low** (tolerate) | Risk should not appear in risk register. |
| | 3 - 4 | **Low** (tolerate) | Regular monitoring, action plan not essential, acceptable just to maintain current controls. |
| | 5 - 9 | **Medium** (treat) | Frequent monitoring, action plan required. |
| | 10-12 | **Medium High** (treat) | Frequent monitoring, action plan required to prevent from becoming a red risk. |
| | 15 - 16 | **High** (treat) | Constant monitoring, action plan required and escalation to next level for consideration / inclusion. |

| | 20 - 25 | **Very High**<br>(treat / terminate) | Constant monitoring, action plan required and escalation to next level with request for inclusion. Consider terminating activity (if an option) where score cannot be reduced by risk mitigation. |
|---|---|---|---|

4.4 The changes to the Register since the last report to this Committee on risk management are as follows:

**New or Significantly Changed risks**

- Climate Change – – this is a new risk on the register and demonstrates the challenges for the Council to achieve carbon neutrality by 2030.
- North Yorkshire Transformation Programme and Savings Requirements – although there have previously been two risks looking at Transformation and also Funding Challenges, these issues have been amalgamated into one risk.
- Property and Housing Regulation Compliance – this risk reflects the challenge of building and housing legislation compliance across the Council.

**Deleted risks**

- Partnership and Integration with the NHS (now known as Working with the NHS) – this risk remains at Directorate level within Health and Adult Services.
- Safeguarding Arrangements – this risk related to both Children and Young People's Service and Health and Adult Services.  It remains at Directorates' level.
- Opportunities for Devolution and Growth in North Yorkshire – this risk relating to devolution remains at Directorate level until the Mayoral Combined Authority is up and running.

With regard to the remaining risks, the rankings stayed the same (as shown on the summary in the left hand column of **Appendix A**).  Please see the table at the bottom of **Appendix A** for an explanation of the left hand column.


**5.0 LINKS BETWEEN CORPORATE AND DIRECTORATE RISK REGISTERS**

5.1 The Corporate Risk Register is the culmination of the identification of key significant risks that are identified at Directorate and Service levels.  For information and out of interest, an exercise has been carried out to identify the links between Directorate Risk Registers and the Corporate Risk Register.  Please find attached a diagram showing these links at **Appendix B**.

**6.0 RISK CATEGORY ANALYSIS OF CORPORATE AND DIRECTORATE RISKS**

6.1 A diagram showing an analysis of risk categories across the Corporate and Directorate risks is at **Appendix C**.  This shows where and how many of the very high, high, medium high and medium ranked risks there are across the Council. The diagram also shows the proportion of each category in each Directorate and at the Corporate level.

## 7.0   ADDITIONAL RISK PRIORITISATION EXERCISES

7.1   As well as the bi-annual update of Corporate, Directorate and Service risk registers, additional workshops are also carried out to develop risk registers for specific areas of activity in the Council.  Currently these include:

- **Levelling Up Fund (LUF) Catterick Garrison** – following a successful bid to the LUF, continuing support was provided to the project management board in progressing the risk management arrangements for this key development which will provide more community facilities and space, improve pedestrian access, deliver extra retail and commercial premises and drive further investment into the area. Key risks include Project Timescale Overruns, Building Occupier Procurement and Site Clearance. Reporting on risk management arrangements is a key part of the quarterly monitoring returns that ensure continued funding from the LUF.
- **Libraries Improvement Fund (LIF) Mobile Library** – the Library Service received approval to make a bid to LIF to fund a replacement for the current Super mobile library vehicle. A mandatory element of the bid was the creation of a risk register and support was provided to the Library Development Manager to compile this. Key risks identified include Finance, Expectations & Outcomes and Service Continuity.


## 7.0   TENDER FOR INSURANCES

7.1   The tender for Insurances was carried out during 2022/23 to ensure the new unitary Council was 'safe and legal' on 1 April 2023.  The tender process that was used was the YPO Insurance Framework.

7.2   The following insurances and associated claims handling service were procured:
- Casualty Insurance (including employer's liability, public liability, official's indemnity and professional indemnity), plus associated claims handling.
- Property (including material damage for buildings and contents, business interruption – additional expenses and social housing, ).
- Motor (comprehensive cover), plus associated motor liability claims handling.
- Personal Accident and Travel.

7.3   The outcome of the exercise in terms of type of cover, excess and insurer is as follows:

- Casualty (£500,000 excess)
- Motor (£100,000 excess)
- Property (£100,000 excess and lesser amounts for social housing and specified properties such as leased and commercial, computing, all risks and plant)
- Personal Accident/Travel (minimal excess)

- Zurich Municipal
- Zurich Municipal
- Zurich Municipal

- RMP/AIG

7.4   The total premium for the tendered Insurances including 12% Insurance Premium Tax is approximately £2,520,000.  There were other Insurances that were sought outside of the tender process such as Property excess layer. There are also some

Insurances which are still being discussed and decided upon and these premiums will be added when known.  The total anticipated savings are still in the process of being calculated as we continue to gather information about premiums that were paid by legacy Councils although insurance arrangements differed.

## 7.0  RECOMMENDATIONS

That the Committee:

(i)  notes the updated Corporate Risk Register (**Appendix A**), the links between Directorate Risk Registers and the Corporate Risk Register (**Appendix B**) and the analysis of the risk categories across the Corporate and Directorate levels (**Appendix C**).

(ii)  notes the position on other Risk Management related matters.

**GARY FIELDING**
**Corporate Director – Resources**

County Hall, Northallerton

December 2023

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Risk Register: **month 0 (November 2022) – summary**
Next Review due: **May 2023**
Report Date: **23rd November 2022 (fs)**

| Risk Trend | Risk | Description | Risk Owner | Risk Manager | Curr Prob | Curr Imp | Current Risk Score | Current Category | Targ Prob | Targ Imp | Target Risk Score | Target Category | FB Plan? |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| new | **CRR_12 Climate Change** | Failure to deliver the Council's aim to achieve carbon neutrality of its own operations by 2030, carbon neutrality of the region by 2034 and a carbon negative region by 2040, and also ensure that appropriate mitigations and adaptations are progressed, failure would result in continued / increasing damaging events (eg. floods, heat waves), unmet public expectation and missed opportunities for energy spend reduction | CD ENV | ENV AD ES&CC | H | VH | **20** | Very High | M | VH | **15** | High | ✔ |
| ▬ | **CRR_2 Major Failure due to Quality and/or Economic Issues in the Care Markets and Workforce Pressures** | Major disruption in care markets results in being unable to meet the needs of vulnerable children, adults and families who use services. This could be caused by economic performance or resource capabilities including recruitment and retention. The impact could include loss of trust in the Care Markets, increased budgetary implications and inability to protect service users from harm. | Chief Exec | CD HAS | H | H | **16** | High | H | H | **16** | High | ✔ |
| ▬ | **CRR_4 Information Governance and Cyber Security** | Ineffective information governance and cyber security arrangements lead to unacceptable levels of unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to FoI requests, and inability to locate key data upon which the Council relies resulting in loss of reputation, poor decision making, fine, etc (including Brierley Group companies) Failure to put in place the appropriate cyber security arrangements could potentially lead to breach, loss of data, loss of systems, loss of reputation and inability to operate effectively and discharge our responsibilities | Chief Exec | CD RES | H | H | **16** | High | H | H | **16** | High | ✔ |
| new | **CRR_13 North Yorkshire Transformation Programme and Savings Requirements** | Failure to deliver a coherent NY transformation programme which meets the needs of moving to the Council's Operating Model, LGR transition, transformation service operational requirements and deliver the savings requirements as a result of financial challenges | Chief Exec | CD RES | H | H | **16** | High | M | H | **12** | Medium High | ✔ |
| new | **CRR_11 Property and Housing Regulation Compliance** | Failure to comply with building and housing legislation including asbestos, legionella, building services and preparation for the new Social Housing Regulation Bill resulting in potential injury or ill health, prosecution and subsequent financial and reputational damage to the council. | CD ComDev; CD RES | ComDev AD Hou; RES AD CP&P | H | H | **16** | High | M | M | **9** | Medium | ✔ |

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Risk Register: **month 0 (November 2022) – summary**
Next Review due: **May 2023**
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| Risk Trend | Risk | Description | Risk Owner | Risk Manager | Curr Prob | Curr Imp | Current Risk Score | Current Category | Targ Prob | Targ Imp | Target Risk Score | Target Category | FB Plan? |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| ▬ | **CRR_3 Recruitment, Retention and Resources** | Failure to recruit and retain appropriately skilled staff and have sufficient resources resulting in inability to deliver services, key projects and the desired organisational transformation also increased staff workload, decreased morale and impact on staff wellbeing. | Chief Exec | ACE HR&BS | H | H | 16 | High | M | M | 9 | Medium | ✔ |
| ▬ | **CRR_8 Significant Incidents** | Failure to plan, respond to and recover effectively from significant incidents in the community resulting in risk to life and limb, impact on statutory responsibilities, impact on financial stability and reputation | Chief Exec | Chief Exec | M | H | 12 | Medium High | L | H | 8 | Medium | ✔ |

| Risk Trend Key | |
|---|---|
| **Symbol** | **Meaning** |
| ⬆ | Risk ranking has worsened since the last review. |
| ▬ | Risk ranking is the same as at last review. |
| ⬇ | Risk Ranking has improved since the last review. |
| new | Risk is new or has been significantly altered since the last review. |

Risk Register: **Annual review (October 2023) – detailed**
Next Review Due: **May 2024**
Report Date: **23rd November 2023 (pw)**

| Phase 1 - Identification | | | | | | | |
|---|---|---|---|---|---|---|---|
| Ref. | CRR_12 | Title | | Climate Change | Risk Owner | CD ENV | Risk Manager | ENV AD ES&CC |
| Risk Description | Failure to deliver the Council's aim to achieve carbon neutrality of its own operations by 2030, carbon neutrality of the region by 2034 and a carbon negative region by 2040, and also ensure that appropriate mitigations and adaptations are progressed, failure would result in continued / increasing damaging events (eg. floods, heat waves), unmet public expectation and missed opportunities for energy spend reduction | | | | Risk Group | Environmental | Linked Risk(s) | ENV_13 |

| Phase 2 - Current Assessment |
|---|
| **Current Control Measures** |
| Leadership commitment; Executive member with portfolio responsibilities; reports to Scrutiny cttee Corporate Building and Asset energy efficiency schemes; LGA guidance for councillors; Climate Change awareness training programme for officers and members; Carbon Reduction Plans for legacy Councils; Beyond Carbon board and programme management established; climate change impact assessment tool enables decision makers to better understand the impact of the decisions that they are being asked to make; £1m pump-priming fund established in MTFS to support implementation of carbon reduction plan; integrated carbon reduction plan into council plan and KPIs into Q performance reports; agreement of carbon neutral by 2030 aim for council operations; |

| Current Probability | H | Current Impact | VH | Current Risk Score | 20 | Current Risk Category | Very High |
|---|---|---|---|---|---|---|---|

| Phase 3 - Risk Mitigation Plan | | | | |
|---|---|---|---|---|
| **Reduction Action** | | **Action Manager** | **Due Date** | **Date Completed** |
| RR_ECC_16 | Utilisation of £1m pump-priming fund established in MTFS to support implementation of carbon reduction plan. | ENV AD ES&CC | 31-Jul-2024 | |
| RR_ECC_17 | Ongoing review of implementation of climate change impact assessment tool to reflect new climate change strategy and ensure that it is effective and efficient in enabling decision makers to better understand the impact of the decisions that they are being asked to make | ENV AD ES&CC | 31-Jul-2024 | |
| RR_ECC_18 | Work through the detailed property related considerations; proposals to be developed through the property service including a property decarbonisation plan. | ENV AD ES&CC; RES CP&P HoPS | 31-Mar-2024 | |
| RR_ECC_19 | Monitor progress on the detailed motor related issues (eg. fleet decarbonisation plan and staff travel policy) and raise concerns where appropriate | ENV AD ES&CC | 31-Mar-2024 | |
| RR_ECC_20 | Work to agree the NYC Climate Change Strategy | ENV AD ES&CC | 30-Jun-2023 | 31-Jul-2023 |
| RR_ECC_31 | Create a North Yorkshire Council Climate Adaptation Plan to support services and residents, communities and businesses to prepare for our climate to change. This will assess our risks and identify options for adaptation. | ENV AD ES&CC | 31-Mar-2025 | |
| RR_ECC_32 | Work with partners, communities, suppliers and businesses to develop climate change awareness, encourage climate responsible choices and implement actions such as scaling up building retrofit projects and increasing low carbon heating, including for NYC's social housing stock | ENV AD ES&CC | 31-Jul-2024 | |
| RR_ECC_33 | Work to ensure that the Council's Local Plan and Local Transport Plan include appropriate responses to climate change | ENV AD ES&CC | 31-Jul-2024 | |
| RR_ECC_34 | Investigate how NYC assets such as land and buildings can best be used to generate low carbon energy (including opportunities at the jointly owned assets Energy from Waste plant and closed landfill sites) and highlight potential for carbon capture and storage opportunities | ENV AD ES&CC | 31-Jul-2024 | |

Risk Register:  **Annual review (October 2023) – detailed**
Next Review Due: **May 2024**
Report Date:  **23rd November 2023 (pw)**

| | | | |
|---|---|---|---|
| RR_ECC_35 | Measure and report on our emissions and plan how and when we will hit our target through the use of a nationally recognised formula to calculate carbon emissions from delivering the services which are under our direct control. | ENV AD ES&CC | 31-Jul-2024 |
| RR_ECC_36 | Embed climate change across the council via production of service and directorate level climate change action plans and ongoing awareness raising with Officers and Members | ENV AD ES&CC | 31-Jul-2024 |

| **Phase 4 - Target Risk Assessment** | | | | | | |
|---|---|---|---|---|---|---|
| **Target Probability** | M | **Target Impact** | VH | **Target Risk Score** | **15** | **Target Risk Category** | High |

| **Phase 5 - Fallback Plan** |
|---|
| **Fallback Plan** |
| Review strategy and implementation methods |

Risk Register:  **Annual review (October 2023) – detailed**
Next Review Due: **May 2024**
Report Date:  **23rd November 2023 (pw)**

| Phase 1 - Identification | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Ref.** | CRR_2 | **Title** | Major Failure due to Quality and/or Economic Issues in the Care Markets and Workforce Pressures | **Risk Owner** | Chief Exec | **Risk Manager** | CD HAS |
| **Risk Description** | Major disruption in care markets results in being unable to meet the needs of vulnerable children, adults and families who use services. This could be caused by economic performance or resource capabilities including recruitment and retention. The impact could include loss of trust in the Care Markets, increased budgetary implications and inability to protect service users from harm. | | | **Risk Group** | Legislative | **Linked Risk(s)** | HAS_2 |

| Phase 2 - Current Assessment |
|---|

| Current Control Measures |
|---|

**HAS** Regular review and monitoring of contracts in addition to close working relationship with corporate procurement colleagues; Integrated Quality Improvement Team now embedded into the service and continuing to work well; contract management team established; Market position statement created as an online tool to support commissioning and interventions into the market; quality pathway launched with enhanced market surveillance to ensure market oversight in line with The Care Act; Sustainability process in place to enable financial assistance to the market where value for money and strategic need can be evidenced; Service Development function now created linked to locality working to identify market issues at an early stage and appropriate market support strategies are created; Ongoing rolling programme of audits by Veritau of individual suppliers; Initial business case approved for Intervention into Harrogate market; Health brokerage pilots; Continued engagement with CQC locally and Nationally; Make Care Matter; IBCF monies used for Recruitment Hub, Learning4Care and rural dom care pilot; Enhanced care homes services in place continue to provide wrap around support to the market; worked with ICG to ensure provider BCPs in place and tested
**CYPS** Best practice and scrutiny forum monitoring of external placements; Young people's accommodation strategy; Financial scrutiny; enhanced CYPLT scrutiny; monitoring of permanency planning; maximise use of adoption and SGO; foster carer recruitment campaign; independent identification of foster carer training needs; commissioning strategy; F&F policy embedded; effective budget monitoring; Permanence Strategy; Adoption and Fostering Strategy; unaccompanied asylum seekers pathway reviewed, procedures in place including agreed Home Office funding; commissioning and contract teams processes reviewed; network meetings always take place prior to any children in care admissions; worked with YJS to review the partnership decision making arrangements to reduce the likelihood of high cost secure and remand cases;

| Current Probability | H | Current Impact | H | Current Risk Score | **16** | Current Risk Category | High |
|---|---|---|---|---|---|---|---|

| Phase 3 - Risk Mitigation Plan | | | | |
|---|---|---|---|---|
| **Reduction Action** | | | **Action Manager** | **Due Date** | **Date Completed** |
| RR_CYP_13 | Continue to provide sufficiency of placements; action plan in place to recruit more carers; scoping out additional capacity for children's home over the coming years for those with complex needs. | | CYPS C&F HoPS | 31-Aug-2024 | |
| RR_CYP_16 | Continue work around accommodation for young people leaving custody; resettlement panel continues and has made some progress, ongoing work is required with the magistrates to ensure custody is always avoided; further work has now been completed with the courts clerk and magistrates; challenge remains that finding appropriate accommodation for young people continues to be difficult; bespoke packages of care are arranged as needed via NWD | | CYPS C&F HoEH; CYPS C&F HoPS | 31-Aug-2024 | |
| RR_CYP_17 | Continue to review all children in care cases to consider discharge options via the weekly best practice and scrutiny meetings and monthly care proceedings meetings | | CYPS C&F HoCP&FR | 31-Aug-2024 | |
| RR_CYP_20 | Continue rolling recruitment campaign supported by resourcing solutions to mitigate against retention issues, including hearing feedback from existing and former staff around what works and what could be improved | | CYPS C&F HoCP&FR | 31-Aug-2024 | |
| RR_CYP_23 | Continued liaison via foster carer association chairs meeting to respond to concerns over cost of living crisis; AD will be attending qly meetings and we have raised some foster carer allowances for 23/24 | | CYPS C&F HoPS | 31-Aug-2024 | |

Risk Register:  **Annual review (October 2023) – detailed**
Next Review Due: **May 2024**
Report Date:  **23rd November 2023 (pw)**

| | | | | |
|---|---|---|---|---|
| RR_CYP_25 | Work with the National Transfer Scheme and dispersal centre to ensure sufficient placement resources to meet increased demand for UASC (increase in capacity of accommodation and support through purchase or lease of properties, contracts and procurement exercises for support) | CYPS C&F HoPS | 31-Aug-2024 | |
| RR_HSC_11 | Work at a system level (ICS) with partners to mitigate the impact of workplace shortages | HAS all ASC ADs ; HAS HoHR | 30-Sep-2024 | |
| RR_HSC_12 | Complete recommissioning of all approved provider lists; evaluation is ongoing | HAS AD PSD (AB) | 28-Feb-2024 | |
| RR_HSC_13 | Seek opportunities to gain national support for workforce issues in the care system; including improved communication around licensing arrangements | CD HAS; HAS all ASC ADs | 30-Sep-2024 | |
| RR_HSC_14 | Launch PAMMS to aid early identification of risk and support the quality pathway; launched | HAS AD ASC (RB) | 30-Sep-2023 | 31-Aug-2023 |
| RR_HSC_15 | Separate quality and contract management to provide additional capacity to contract management; planned for Oct | HAS AD ASC (RB); HAS AD PSD (AB) | 31-Oct-2023 | 01-Oct-2023 |
| RR_HSC_16 | Use the review of the QIT pilot to plan future quality oversight, ongoing | HAS AD ASC (RB) | 30-Sep-2024 | |
| RR_HSC_17 | Developing crisis response service and working with the care market to establish more robust services in NY for those with complex needs linked to improvement priority | HAS AD ASC (RB) | 30-Sep-2024 | |
| RR_HSC_18 | Continue to engage in ADASS work to manage major problems occurring, such as financial issues in the care provider market and ensure robust contingency planning and to learn lessons from serious case reviews at a national level; more work being done to enhance regional ways of working; this continues with use of national capacity tracker and contingencies in place | HAS AD PSD (AB) | 30-Sep-2024 | |
| RR_HSC_19 | Continue to work with Veritau on audits of individual suppliers (rolling programme in place of focussed work in particular areas) | HAS AD PSD (AB); HAS ASC HoSC | 30-Sep-2024 | |
| RR_HSC_20 | Monitor issues caused by the changing landscape of ICS and LGR and raise at HASLT where appropriate - ongoing | HAS AD PSD (AB) | 30-Sep-2024 | |
| RR_HSC_21 | Develop a Quality Pathway, revising processes and procedure and incorporating best practice adopting a risk based / predictive approach; rolling out | HAS AD ASC (RB) | 30-Nov-2022 | 28-Feb-2023 |
| RR_HSC_22 | Rewriting quality policies as part of Quality Pathway with input from Veritau as part of focussed review; complete | HAS AD ASC (RB) | 30-Nov-2022 | 28-Feb-2023 |
| RR_HSC_24 | Work with market development board to monitor and manage interventions in the care market | HAS AD PSD (AB) | 30-Sep-2024 | |

Risk Register:  **Annual review (October 2023) – detailed**
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| RR_HSC_9 | Develop a business case for new, county-wide care and support hubs to help alleviate care home affordability issue | | | | | HAS AD PSD (AB) | 31-Mar-2024 | |
|---|---|---|---|---|---|---|---|---|
| **Phase 4 - Target Risk Assessment** | | | | | | | | |
| **Target Probability** | H | **Target Impact** | H | **Target Risk Score** | | **16** | **Target Risk Category** | High |
| **Phase 5 - Fallback Plan** | | | | | | | | |
| **Fallback Plan** | | | | | | | | |
| Make people safe, crisis meeting, implement relevant steps, consultation with senior staff and relevant organisations (e.g. Police CQC). Effective communication to relevant parties, utilise established failure plan. | | | | | | | | |

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Risk Register:  **Annual review (October 2023) – detailed**
Next Review Due: **May 2024**
Report Date:  **23rd November 2023 (pw)**

| Phase 1 - Identification | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Ref.** | CRR_4 | **Title** | | **Information Governance and Cyber Security** | **Risk Owner** | Chief Exec | **Risk Manager** CD RES |
| **Risk Description** | Ineffective information governance and cyber security arrangements lead to unacceptable levels of unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to FoI requests, and inability to locate key data upon which the Council relies resulting in loss of reputation, poor decision making, fine, etc (including Brierley Group companies) Failure to put in place the appropriate cyber security arrangements could potentially lead to breach, loss of data, loss of systems, loss of reputation and inability to operate effectively and discharge our responsibilities | | | | **Risk Group** Info Gov | | **Linked Risk(s)** CSD_2 |

| Phase 2 - Current Assessment |
|---|
| **Current Control Measures** |

Information Management and Governance Strategy including the associated Policy and Procedure Framework; CIGG Action Plan; data breach process; messages from senior management; on-line training; staff induction; Information Asset Owners identified; information asset registers regularly updated; Internal Data Governance team with an identified representative for each Directorate (replacing DIGCs); Veritau appointed as DPO; posters; intranet information; regular monitoring of electronic communication by T&C; series of unannounced security compliance visits by internal audit Brierley Group companies' information governance procedures in place;
**FoI** – controls include central monitoring of receipt and progress, regular review by Veritau and review of outstanding cases by the Chief Exec on a monthly basis; proactive monitoring of all data; terms of reference reviewed; Veritau investigate significant data breaches; CIGG consider reasons for data breaches and cascade lessons learned; secure physical storage and internal info transfer issues resolved; e learning training packages refreshed; Information Sharing Protocol in place;
**SAR** - controls include central monitoring of receipt and progress; refreshed Information Governance page on intranet; Information Governance risk register completed; Data Quality Improvement Action Plan agreed; DPIAs in place;
**Cyber Security** - application of all the features of the Information Security Management System (ISMS);cyber prevention tools are kept up to date; security team in place; Non NYC Network Access Policy produced; e learning training packages refreshed; targeted phishing campaign; Directorates' discussion on the potential outcome of a cyber-attack carried out; regular updates and awareness communications to staff; information sharing agreements in place where required; UK GDPR compliance; robust programme of governance in place to manage all changes taking place in relation to LGR;

| Current Probability | H | Current Impact | H | Current Risk Score | **16** | Current Risk Category | High |
|---|---|---|---|---|---|---|---|

| Phase 3 - Risk Mitigation Plan | | | | | |
|---|---|---|---|---|---|
| **Reduction Action** | | | **Action Manager** | **Due Date** | **Date Completed** |
| RR_CSD_5 | Review and further improve information risk management processes and develop effective 'path to compliance' plans to achieve greater operational maturity across our information security practices. | | RES AD Tech | 31-Aug-2024 | |
| RR_RES_10 | Implement the robust programme of governance to manage all changes taking place in relation to LGR | | RES AD Tech | 31-Mar-2023 | 31-Mar-2023 |
| RR_RES_5 | Continue to ensure business continuity plans are reviewed, exercised and kept up to date for Council services and trading companies; currently supporting NYC with any live BC incidents to ensure that service is maintained | | Loc Eng HoR&E | 31-Aug-2024 | |
| RR_RES_6 | Create a Data Quality Assurance framework process that provides a centralised record of Information Asset Ownership, data accuracy and data quality review | | RES AD Tech | 30-Sep-2024 | |
| RR_RES_75 | Monitor the delivery and effectiveness of the Information Management and Governance Strategy, and update if required | | CD RES; Veritau | 31-Dec-2024 | |

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Risk Register:  **Annual review (October 2023) – detailed**
Next Review Due: **May 2024**
Report Date:  **23rd November 2023 (pw)**

| | | | | |
|---|---|---|---|---|
| RR_RES_76 | Carry out mitigating actions as a result of lessons learned from data breaches | RES AD Tech | 31-Mar-2024 | |
| RR_RES_77 | Deliver ongoing communications and training to raise awareness of Information Governance risks and council policies (ongoing) | CD RES; Veritau | 31-Aug-2024 | |
| RR_RES_8 | Continue to review resourcing to ensure required delivery of Veritau service (ongoing) | CD RES | 31-Aug-2024 | |
| RR_RES_9 | Continue a review of IG procedures and providing support to the Brierley Group of Companies | RES AD Tech | 31-Mar-2024 | |
| RR_RTE_41 | Carry out full review of information assets and ownership to ensure responsibility is taken where appropriate for all information | RES AD Tech | 31-Mar-2024 | |

| **Phase 4 - Target Risk Assessment** | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Target Probability** | H | **Target Impact** | H | **Target Risk Score** | **16** | **Target Risk Category** | High |

| **Phase 5 - Fallback Plan** |
|---|
| **Fallback Plan** |
| Review and revise Action Plan and new technology and continue to raise awareness. |

Risk Register: **Annual review (October 2023) – detailed**
Next Review Due: **May 2024**
Report Date: **23rd November 2023 (pw)**

| Phase 1 - Identification | | | | | | | |
|---|---|---|---|---|---|---|---|
| Ref. | CRR_13 | **Title** | **North Yorkshire Transformation Programme and Savings Requirements** | **Risk Owner** | Chief Exec | **Risk Manager** | CD RES |
| **Risk Description** | Failure to deliver a coherent NY transformation programme which meets the needs of moving to the Council's Operating Model, LGR transition, transformation service operational requirements and deliver the savings requirements as a result of financial challenges | | | **Risk Group** | Strategic | **Linked Risk(s)** | CSD_3 |

| Phase 2 - Current Assessment | | | | | | |
|---|---|---|---|---|---|---|
| **Current Control Measures** | | | | | | |
| Transformation Programme and governance in place; Transformation programme; review of areas of overspend and actions to mitigate; review (deep dives) into specific high-risk base budgets such as HAS Care and Support, SEN Transport, and Home to School transport carried out; BEST approach embedded into service planning; performance monitoring through Q reports; emerging LGR transition work streams; PMO in place; existing MTFS and budget monitoring arrangements; Members Budget seminars; | | | | | | |
| **Current Probability** | H | **Current Impact** | H | **Current Risk Score** | **16** | **Current Risk Category** | High |

| Phase 3 - Risk Mitigation Plan | | | | |
|---|---|---|---|---|
| **Reduction Action** | | **Action Manager** | **Due Date** | **Date Completed** |
| RR_CRR_38 | Develop cross cutting transformation themes in order to further improve effectiveness and deliver savings (eg customer workstream) | RES Dir Transf | 31-Mar-2024 | |
| RR_CRR_39 | Implement cross cutting themes as part of the transformation programme | All Mgt Board | 31-Mar-2025 | |
| RR_CRR_40 | Identify key resource pressure points and solutions to deliver required functionality to deliver the TP including suggested approach to prioritising scarce resource (ongoing) | RES Dir Transf | 31-Mar-2025 | |
| RR_CRR_41 | Monitor delivery of savings proposals and other transformational actions and identify responses to issues as they arise (ongoing) | CD RES | 31-Mar-2025 | |
| RR_CRR_42 | Develop longer term strategies for investment relating to capital, regeneration, building maintenance backlogs | CD RES | 31-Mar-2024 | |
| RR_CRR_43 | Identify and advocate on key funding pressures particularly in relation to government and combined authority (eg SEND with DfE and Regeneration projects with Combined Authority) | CD RES | 31-Jul-2024 | |
| RR_CRR_44 | Constantly review budget and MTFS in year and as part of the annual exercise | CD RES | 31-Jul-2024 | |
| RR_CRR_45 | Provide an effective and efficient customer service across the Council where all staff and services work together to meet the needs of all customers | CD RES | 31-Oct-2024 | |
| RR_RES_22 | Use service planning to understand opportunities for savings and improvement and carry out budget challenge sessions with all ADs across the organisation | RES Dir Transf | 31-Oct-2023 | 31-Oct-2023 |
| RR_RES_23 | Identify all statutory and policy driven initiatives across the Council which require some form of transformation | ACE LDS | 31-Jul-2024 | |
| RR_RES_24 | Produce a consolidated programme plan | RES Dir Transf | 31-Dec-2023 | |
| RR_RES_25 | Continue to review and transform operational service requirements as part of the Programme in order to maximise efficiency | All Mgt Board | 31-Jul-2024 | |

Risk Register:  **Annual review (October 2023) – detailed**
Next Review Due: **May 2024**
Report Date:  **23rd November 2023 (pw)**

| | | | | |
|---|---|---|---|---|
| RR_RES_80 | Continue to review and improve the Transformation Programme | RES Dir Transf | 31-Jul-2024 | |
| RR_RTR_14 | Further define the Target Operating Model and introduce systems to ensure compliance | RES Dir Transf | 31-Jul-2024 | |
| RR_RTR_15 | Develop a cultural change programme to ensure we work together as a single coherent and effective unitary council | All Mgt Board | 30-Sep-2024 | |

| Phase 4 - Target Risk Assessment | | | | | | | |
|---|---|---|---|---|---|---|---|
| Target Probability | M | Target Impact | H | Target Risk Score | 12 | Target Risk Category | Medium High |

| Phase 5 - Fallback Plan |
|---|
| **Fallback Plan** |
| Carry out a full review and ensure an effective revision of the transformation and savings programme plan |

Risk Register:  **Annual review (October 2023) – detailed**
Next Review Due: **May 2024**
Report Date:  **23rd November 2023 (pw)**

| Phase 1 - Identification | | | | | | | |
|---|---|---|---|---|---|---|---|
| Ref. | CRR_11 | Title | Property and Housing Regulation Compliance | Risk Owner | CD ComDev; CD RES | Risk Manager | ComDev AD Hou; RES AD CP&P |
| Risk Description | Failure to comply with building and housing legislation including asbestos, legionella, building services and preparation for the new Social Housing Regulation Bill resulting in potential injury or ill health, prosecution and subsequent financial and reputational damage to the council. | | | Risk Group | Legislative | Linked Risk(s) | CDE_10 |

| Phase 2 - Current Assessment | | | | | | | |
|---|---|---|---|---|---|---|---|
| Current Control Measures | | | | | | | |
| **Property:** BAU work by legacy (existing legacy council processes); initial work undertaken by LGR workstream; targeted program of work to improve performance; <br> **Housing:** Existing, individual legacy council arrangements; | | | | | | | |
| Current Probability | H | Current Impact | H | Current Risk Score | 16 | Current Risk Category | High |

| Phase 3 - Risk Mitigation Plan | | | | |
|---|---|---|---|---|
| **Reduction Action** | | Action Manager | Due Date | Date Completed |
| RR_CDE_25 | Deliver the improvement plan for the condition of housing stock and governance | ComDev AD Hou | 31-Dec-2024 | |
| RR_CHO_19 | Develop an ongoing improvement plan for condition of housing stock and governance | ComDev AD Hou | 31-Dec-2023 | |
| RR_CHO_20 | Organise an independent assessment of the council's readiness for new regulatory regime and carry out a gap analysis. | ComDev AD Hou | 31-Dec-2023 | |
| RR_CHO_21 | Carry out gap analysis against current standards to help inform an improvement plan | ComDev AD Hou | 31-Dec-2023 | |
| RR_CHO_22 | Utilise Veritau to audit work against the "big six" risks under RSH (Regulator of Social Housing) regime | ComDev AD Hou | 31-Dec-2023 | |
| RR_RCP_3 | Development of asset management IT system in order to keep up to date records of property assets and responsibilities | RES AD CP&P | 31-Jul-2024 | |
| RR_RCP_4 | Consultancy support reviewing existing proc for water hygiene mgt, tasked with proposing a new council wide scheme and development of an action plan to ensure full implementation | RES AD CP&P | 31-Mar-2025 | |
| RR_RCP_5 | Consultancy support reviewing existing proc for asbestos mgt, tasked with proposing a new council wide scheme and development of an action plan to ensure full implementation | RES AD CP&P | 31-Mar-2025 | |
| RR_RCP_6 | Implementation of SFG20 (model for building services compliance) | RES AD CP&P | 30-Apr-2024 | |

**Corporate Risk Register**                                              **Appendix A**

Risk Register:  **Annual review (October 2023) – detailed**
Next Review Due: **May 2024**
Report Date:  **23rd November 2023 (pw)**

| | | | | |
|---|---|---|---|---|
| RR_RCP_7 | Development of approach to fire safety (with focus on high risk properties) | RES AD CP&P | 31-Jul-2024 | |
| RR_RCP_8 | Carry out themed property compliance audit and audits by H&S team to determine compliance level and inform approach | RES AD CP&P | 31-Jul-2024 | |

| **Phase 4 - Target Risk Assessment** | | | | | | |
|---|---|---|---|---|---|---|
| **Target Probability** | M | **Target Impact** | M | **Target Risk Score** | **9** | **Target Risk Category** | Medium |

**Phase 5 - Fallback Plan**

**Fallback Plan**

**Property:** Investigation of incident, communication and work with contractors to resolve
**Housing:** Respond as necessary to any incident, carry out lessons learned review

Risk Register:  **Annual review (October 2023) – detailed**
Next Review Due: **May 2024**
Report Date:  **23rd November 2023 (pw)**

| Phase 1 - Identification | | | | | | | |
|---|---|---|---|---|---|---|---|
| Ref. | CRR_3 | **Title** | | Recruitment, Retention and Resources | **Risk Owner** | Chief Exec | **Risk Manager** | ACE HR&BS |

| **Risk Description** | Failure to recruit and retain appropriately skilled staff and have sufficient resources resulting in inability to deliver services, key projects and the desired organisational transformation also increased staff workload, decreased morale and impact on staff wellbeing. | **Risk Group** | Staffing | **Linked Risk(s)** | |

| Phase 2 - Current Assessment |
|---|

| Current Control Measures |
|---|

**Recruitment:** flexible pay arrangements including market supplements, other payments; good wider benefits package, amended pay structure to take account of posts and grades with particular recruitment and retention challenges; recruitment campaigns and advertising; work with managers to recruit swiftly; social media to promote the organisation and jobs creating a recognisable and attractive employer brand; positively promote the Council as an inclusive employer with good use of diverse images in campaigns to ensure all applicants feel welcome;
**Retention:** Positive and inclusive working environment created; focus on communication and engagement corporately and locally; support and training for managers on good management including engaging and developing their staff; support for staff with health and wellbeing resilience and providing an environment where staff feel they are cared for and supported; providing open access to training and development for employees to enable development in their role and have opportunities to progress internally; staff support networks and staff diversity and inclusion networks which influence policy and practice at work as part of the Council's inclusive workplace approach; good benefits package which encourage retention eg green lease cars, flexible working opportunities so good work life balance available
**Resources:** Appropriate arrangements and monitoring of agency workers and contractors corporately through Resourcing Solutions; People Strategy and Workforce Plan; People Strategy directorate groups; hub and spoke model of HR to ensure compliance;

| **Current Probability** | H | **Current Impact** | H | **Current Risk Score** | **16** | **Current Risk Category** | High |
|---|---|---|---|---|---|---|---|

| Phase 3 - Risk Mitigation Plan | | | | |
|---|---|---|---|---|
| **Reduction Action** | | **Action Manager** | **Due Date** | **Date Completed** |
| RR_CRR_10 | Focus on recruitment to entry level posts alongside career pathways (apprentices and trainees where recruitment is more successful) | ACE HR&BS | 30-Sep-2024 | |
| RR_CRR_2 | Ensure opportunities and progression through development are provided to staff through internal career pathways | ACE HR&BS | 30-Sep-2024 | |
| RR_CRR_3 | Ensure the organisation is a 'good employer' through its actions and practice | ACE HR&BS | 30-Sep-2024 | |
| RR_CRR_36 | Minimise the use of agency workers and external consultants to short term emergency requirements; as a commitment to offering permanent work, career progression and building established team/service dynamics. (ongoing) | ACE HR&BS | 30-Sep-2024 | |
| RR_CRR_37 | Continue to utilise a range of contract types to achieve a resilient, agile workforce that meets service demand and proactively manages staffing levels in order to meet fluctuating demand. (ongoing) | ACE HR&BS | 30-Sep-2024 | |
| RR_CRR_4 | Continue to enable hybrid working to provide flexibility to employees and necessary services | ACE HR&BS | 30-Sep-2024 | |
| RR_CRR_5 | Ensure work/life balance is available and attainable to all employees and enable all staff to access Health & Well Being services | ACE HR&BS | 30-Sep-2024 | |
| RR_CRR_6 | Continue to develop and offer good terms and conditions and an innovative package of voluntary benefits | ACE HR&BS | 30-Sep-2024 | |

Risk Register:  **Annual review (October 2023) – detailed**
Next Review Due: **May 2024**
Report Date:  **23rd November 2023 (pw)**

| | | | | |
|---|---|---|---|---|
| RR_CRR_7 | Recruit internally for all roles J/K and above to enable internal staff the first opportunity for development and progression within the larger organisation for the next 12 months. | ACE HR&BS | 30-Sep-2024 | |
| RR_CRR_8 | Continue to deploy a range of tools and resources to recruit to vacancies adapting the recruitment response to the role type. Continued use of creative recruitment campaigns with good use of social media | ACE HR&BS | 30-Sep-2024 | |
| RR_CRR_9 | Develop manager's skills for effective and positive staff management including engagement and support in order to assist retention and successful recruitment (ongoing) | ACE HR&BS | 30-Sep-2024 | |

| **Phase 4 - Target Risk Assessment** | | | | | | |
|---|---|---|---|---|---|---|
| **Target Probability** | M | **Target Impact** | M | **Target Risk Score** | **9** | **Target Risk Category** | Medium |

| **Phase 5 - Fallback Plan** |
|---|
| **Fallback Plan** |
| Review and revise resource allocation where possible and consider additional funding and capacity where required |

Risk Register: **Annual review (October 2023) – detailed**
Next Review Due: **May 2024**
Report Date: **23rd November 2023 (pw)**

| Phase 1 - Identification | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Ref.** | CRR_8 | **Title** | | Significant Incidents | **Risk Owner** | Chief Exec | **Risk Manager** | Chief Exec |
| **Risk Description** | Failure to plan, respond to and recover effectively from significant incidents in the community resulting in risk to life and limb, impact on statutory responsibilities, impact on financial stability and reputation | | | | **Risk Group** | Performance | **Linked Risk(s)** | CSD_7 |

*(Note: layout above is Ref/Title/Risk Owner/Risk Manager across the row.)*

| Phase 2 - Current Assessment |
|---|
| **Current Control Measures** |
| NYLRF and RMCI; experience and resources of partners; existing plans incl public health (training and exercises); RET; partnership working with Services; community resilience; silver response in the Council major incident plan tested; approach to BCP refreshed to strengthen service resilience; Resilience Direct portal; regional multi agency pandemic exercise held; effectiveness and robustness of resilience plans relating to the public health and social care of the NY population tested; NYC action plan developed and implemented based on the debrief report recommendations and all multi agency learning (including the flood reporting tool and simplification of information flow); members of national steering group on volunteers; BCP post audit action plan; Multi Agency cyber threat event held; Ready for Anything campaign; provided input to and engaged with national learning and development of best practice following incidents locally, regionally and nationally; use of Office 365 tools to increase engagement and response capability in effective planning and coordination of incidents; increased team to support Covid response and ability to deal with concurrent incidents; LRF workplan through to 2024; partnership work with Directorates, Migration Yorkshire and other partners to support refugee resettlement in the County; Corp Emergency Planning Group with annual workplan; |

| **Current Probability** | M | **Current Impact** | H | **Current Risk Score** | 12 | **Current Risk Category** | Medium High |
|---|---|---|---|---|---|---|---|

| Phase 3 - Risk Mitigation Plan | | | | |
|---|---|---|---|---|
| **Reduction Action** | | **Action Manager** | **Due Date** | **Date Completed** |
| RR_LEN_2 | Continue to work with our partners in Public Health England, the NHS and the wider North Yorkshire local resilience forum to share the information and messages of reassurance being issued by the lead agencies | Dir Public Health | 31-Jul-2024 | |
| RR_LEN_3 | Continue to ensure business continuity plans are reviewed, exercised and kept up to date for Council services and trading companies; currently supporting NYC with any live BC incidents to ensure that service is maintained | CD RES | 31-Jul-2024 | |
| RR_LEN_37 | Harmonise processes and associated risk assessments for operational response to incidents to ensure H&S of staff is maintained | ACE Loc Eng | 31-Jul-2024 | |
| RR_LEN_38 | Ensure that NYC risks consider the contents of the National Security Risk Assessment and Community Risk Register | ACE Loc Eng | 31-Jul-2024 | |
| RR_LEN_4 | Continue to work with Directorates, Migration Yorkshire and other partners to support refugee resettlement schemes, both into permanent housing in the County and whilst in temporary placements organised by the Home Office in bridging hotels in the County | ACE Loc Eng | 31-Jul-2024 | |
| RR_LEN_5 | Understand the Impact of LGR and those in multi-faceted roles on our ability to respond to emergencies | ACE Loc Eng | 31-Jul-2024 | |
| RR_LEN_6 | Continue to ensure effective and efficient processes are embedded amongst all partners to prioritise work streams (incl. plans, training and exercises) (ongoing) | ACE Loc Eng | 31-Jul-2024 | |
| RR_LEN_7 | Continue to embed the recommendations from incident debriefs within practice through the Corp Emergency Planning Group | Loc Eng HoR&E | 31-Jul-2024 | |
| RR_LEN_8 | Work through the LGR sub work streams to ensure that emergency response and bcp arrangements remain robust throughout the transition and transformation phases (safe and legal) | Loc Eng HoR&E | 31-Mar-2023 | 31-Mar-2023 |

| Phase 4 - Target Risk Assessment | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Target Probability** | L | **Target Impact** | H | **Target Risk Score** | 8 | **Target Risk Category** | Medium |

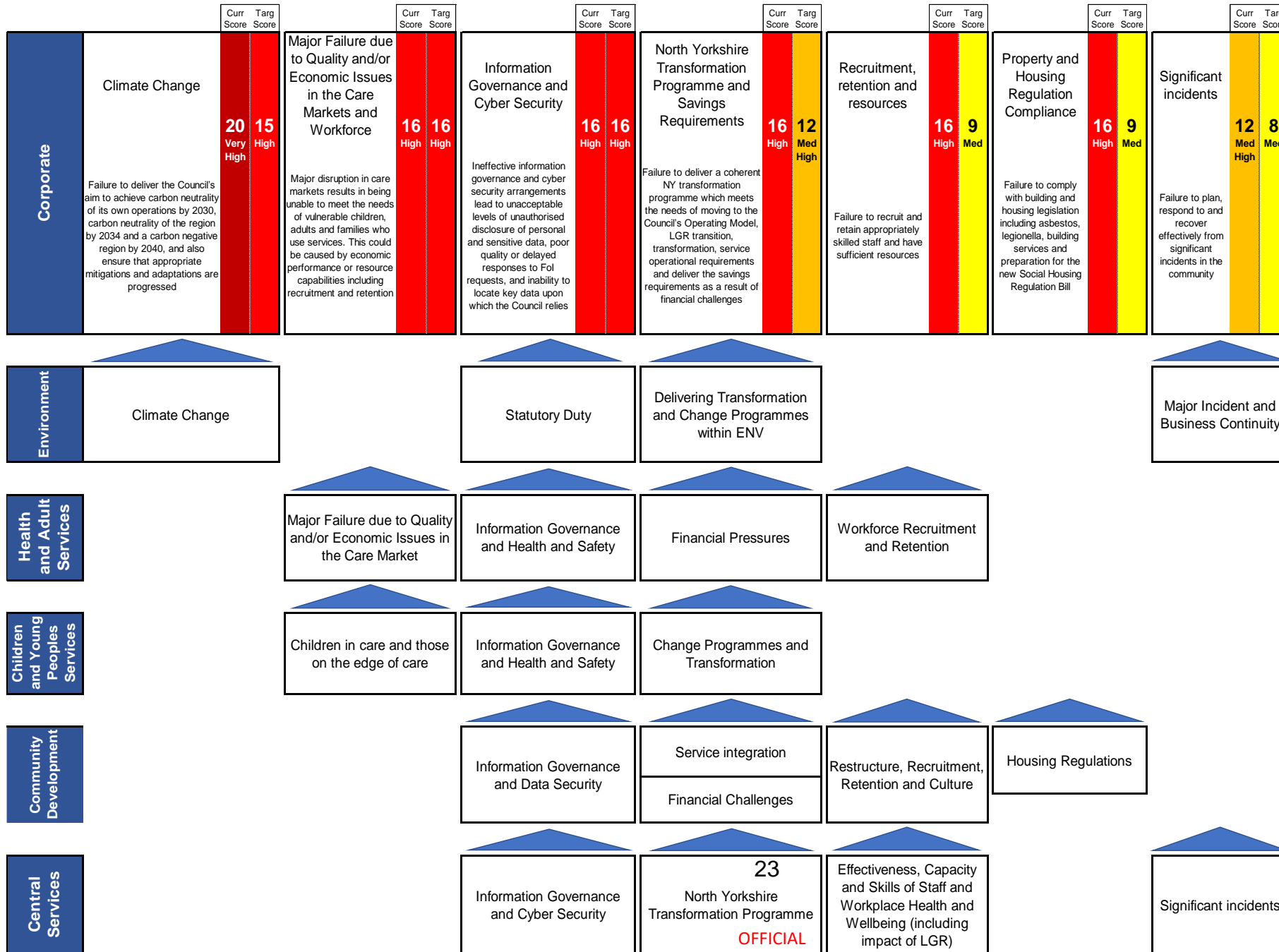Risk Register:  **Annual review (October 2023) – detailed**
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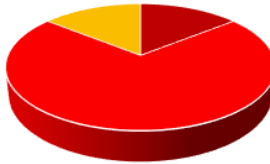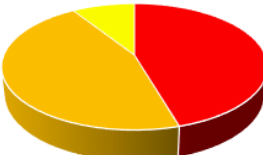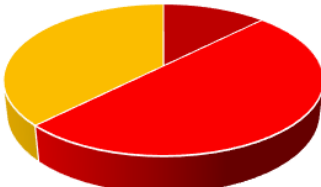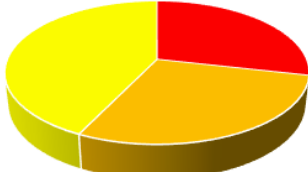
| Phase 5 - Fallback Plan |
| --- |
| **Fallback Plan** |
| Embedded practice based on Response to Major and Critical Incident protocols |

# Mapping of Directorate risks to the Corporate risk register - November 2023

## Corporate

**Climate Change**

Failure to deliver the Council's aim to achieve carbon neutrality of its own operations by 2030, carbon neutrality of the region by 2034 and a carbon negative region by 2040, and also ensure that appropriate mitigations and adaptations are progressed

Curr Score: **20 Very High** | Targ Score: **15 High**

**Major Failure due to Quality and/or Economic Issues in the Care Markets and Workforce**

Major disruption in care markets results in being unable to meet the needs of vulnerable children, adults and families who use services. This could be caused by economic performance or resource capabilities including recruitment and retention

Curr Score: **16 High** | Targ Score: **16 High**

**Information Governance and Cyber Security**

Ineffective information governance and cyber security arrangements lead to unacceptable levels of unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to FoI requests, and inability to locate key data upon which the Council relies

Curr Score: **16 High** | Targ Score: **16 High**

**North Yorkshire Transformation Programme and Savings Requirements**

Failure to deliver a coherent NY transformation programme which meets the needs of moving to the Council's Operating Model, LGR transition, transformation, service operational requirements and deliver the savings requirements as a result of financial challenges

Curr Score: **16 High** | Targ Score: **12 Med High**

**Recruitment, retention and resources**

Failure to recruit and retain appropriately skilled staff and have sufficient resources

Curr Score: **16 High** | Targ Score: **9 Med**

**Property and Housing Regulation Compliance**

Failure to comply with building and housing legislation including asbestos, legionella, building services and preparation for the new Social Housing Regulation Bill

Curr Score: **16 High** | Targ Score: **9 Med**

**Significant incidents**

Failure to plan, respond to and recover effectively from significant incidents in the community

Curr Score: **12 Med High** | Targ Score: **8 Med**

## Environment

- Climate Change
- Statutory Duty
- Delivering Transformation and Change Programmes within ENV
- Major Incident and Business Continuity

## Health and Adult Services

- Major Failure due to Quality and/or Economic Issues in the Care Market
- Information Governance and Health and Safety
- Financial Pressures
- Workforce Recruitment and Retention

## Children and Young Peoples Services

- Children in care and those on the edge of care
- Information Governance and Health and Safety
- Change Programmes and Transformation

## Community Development

- Information Governance and Data Security
- Service integration
- Financial Challenges
- Restructure, Recruitment, Retention and Culture
- Housing Regulations

## Central Services

- Information Governance and Cyber Security
- North Yorkshire Transformation Programme

OFFICIAL

- Effectiveness, Capacity and Skills of Staff and Workplace Health and Wellbeing (including impact of LGR)
- Significant incidents

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**Corporate and Directorate - Risk Category Analysis**

| Register | Current Risk Category | No. of risks | Risks | |
|---|---|---|---|---|
| Corporate | Very High | 1 | Climate Change | |
| | High | 5 | Maj failure in care markets; Recruitment, retention & resources; NY Transformation Programme & Savings requirements; Info gov and cyber security; Property and Housing regulation compliance | |
| | Medium High | 1 | Significant Incidents | |
| Environment Directorate | Very High | 1 | Climate Change | |
| | High | 3 | Passenger transport market resilience; Statutory duties; Long Term Waste Service Strategy | |
| | Medium High | 4 | Brierley Homes Ltd; Delivering Transformation and Change Programmes within ENV; Capital Programme; Major schemes | |
| | Medium | 2 | NY Highways; Major Incident and Business Continuity | |
| Community Development | High | 5 | Restructure, Recruitment, Retention and Culture; Local Plan; Harrogate Convention Centre; Health and Safety; Housing Regulations | |
| | Medium High | 5 | Financial Challenges; Service integration; Capital Programme; Growth; Devolution | |
| | Medium | 1 | Information Governance and Data Security | |
| Health and Adult Services | High | 7 | Major Failure in the Care Market; Workforce Recruitment and Retention; Confident and consistent practice/Managing Waiting Lists; In-House Social Care Provider Services; Financial Pressures; Working with the NHS; Public Health | |
| | Medium High | 3 | CQC Assurance; Safeguarding Arrangements; Information Governance and Health and Safety | |
| Children and Young Peoples Services | Very High | 1 | SEND High Need Budget | |
| | High | 4 | Children in care and those on the edge of care; Safeguarding Arrangements; Schools Organisation and Capital Funding for places; Schools Funding Challenges | |
| | Medium High | 3 | Educational Outcomes; Change Programmes and Transformation; Information Governance and Health and Safety | |
| Central Services | High | 2 | Info Gov and Cyber Security; Health and Safety | |
| | Medium High | 2 | North Yorkshire Transformation Programme; Effectiveness, Capacity and Skills of Staff and Workplace Health and Wellbeing (including impact of LGR); | |
| | Medium | 3 | Corporate Governance and Ensuring Legality; Significant Incidents; Customer Service | |

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