

# North Yorkshire Council

## Audit Committee

11<sup>th</sup> December 2023

### Risk Register Community Development Directorate

#### Report of the Corporate Director for Community Development

#### 1.0 PURPOSE OF REPORT

- 1.1 To provide Audit Committee with an update on the key risks considered within with the Community Development Directorate and mitigating actions taken to effectively manage them.

#### 2.0 BACKGROUND

- 2.1 The Audit Committee is required to assess the current risks faced by the Council and what appropriate actions are being taken to manage them. This report sets out those risks in relation to the Community Development Directorate (CDD) and aims to provide Committee with assurance around work being undertaken to manage and mitigate them where it is possible to do so.
- 2.2 The CDD covers a broad range of services including Planning, Economic Development, Regeneration, Tourism, Skills, Housing, Venues, Leisure, Cultural services, Libraries and Archives.
- 2.3 The Directorate risk register (DRR) is the end product of a systematic process that initially identifies risk at Service Unit level and then aggregates these via a sieving process to Directorate level. A similar process sieves Directorate level risks into the Corporate Risk Register.
- 2.4 The Council 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 table overleaf shows the scoring, assessment and suggested required actions:

Colour	Score	Assessment	Required Action
	1 – 2	<b>Very Low</b> (tolerate)	Risk should not appear in risk register.
	3 – 4	<b>Low</b> (tolerate)	Regular monitoring, action plan not essential, acceptable just to maintain current controls.
	5 – 9	<b>Medium</b> (treat)	Frequent monitoring, action plan required.
	10-12	<b>Medium High</b> (treat)	Frequent monitoring, action plan required to prevent from becoming a red risk.
	15 – 16	<b>High</b> (treat)	Constant monitoring, action plan required and escalation to next level for consideration / inclusion.
	20 – 25	<b>Very High</b> (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.

2.5 The DRR represents the principal risks that may materially impact on the performance and financial outcomes of the Directorate. As a new Directorate this is the first time the DRR has been established and reported to Committee. The detailed DRR is shown at **Appendix A** and shows a range of risks, and the risk reduction actions which have been put in place to minimise them. Section 4 summaries these risks and provides commentary as to the actions taking place to minimise and mitigate them occurring. In the summary below the risks have been grouped into thematic areas with the first three covering boarder cross cutting risks and the final four covering the most significant service specific risks.

### 3.0 KEY AREAS OF RISK AND MITIGATIONS

3.1 ***Restructures, recruitment, retention and culture*** – this risk is an overarching risk for the whole Directorate. As the majority of services within the Directorate are former district/borough services there has been a significant amount of restructuring required to bring eight organisations into one.

3.2 This work has been split into two phases, with structures through to Head of Service level taking place first, followed by full service restructures as the second phase. Significant progress has been made with all Heads of Service across the Directorate now in place. Work has also commenced on the second phase of restructures with some (namely Culture and Venues) having recently commenced, and the majority of other areas to start early in the new year during January and February. Once in place this will significantly reduce the risk in this area, supporting a more consistent approach to services and culture within the Directorate. Once in place further actions currently in development around the workforce plan, people strategy, maximising the use of apprenticeships and the development of career pathways will also be implemented.

- 3.3 In relation to recruitment the Directorate has also placed significant emphasis on reducing the use of agency workers, something which was particularly acute within the Planning service. Since the 1<sup>st</sup> April 2023 the number of Agency workers within the Planning service has halved, with work continuing to reduce this to as minimal levels as possible. This has not only reduced costs but has also provided a more permanent workforce for the service.
- 3.4 **Health and safety** – this is another overarching risk for the Directorate with the large numbers of new services coming together as part of Local Government Reorganisation (LGR). Work is ongoing within the Directorate in developing and implementing the Directorate health and safety plan. In addition, significant emphasis is being placed on ensuring mandatory training is taking place across the range of services and locations within the Council. It is also important to highlight with the number of new teams coming together that there are a number of different practices within services and legacy council areas. As new structures are developed work is taking place to harmonise these practices and ensure a single corporate approach to health and safety and compliance.
- 3.5 **Financial challenges, capital programmes, systems and processes** – as with many of the other risks, one of the key challenges for the CDD is in bringing together the information and finances of eight organisations into one. Significant work has taken place since 1<sup>st</sup> April 2023 in developing a single position for the Directorate finances which will allow for better financial planning and management of budgets. This work continues to evolve and should be largely complete to tie in with the overarching restructuring work for new financial year. With some large income generating service areas such as Leisure, Planning and Housing, work has also focused on reviewing the sustainability of services and seeking to drive efficiencies through LGR. This includes transformation plans for all service areas, as well as applying for funding when opportunities arise.
- 3.6 The CDD also manages some significant capital programmes including two Towns Deal Funds (Scarborough and Whitby) and Levelling Up Funding at Catterick. To manage this risk effectively new monitoring and reporting mechanisms have been put in place to ensure the programmes run to time and budget, and where issues arise, they can be escalated appropriately. In addition to those existing programmes plans are also in development around future capital investment requirements and new schemes including ensuring assets such as Council homes receive sufficient investment to meet the decent homes standard, and that we understand investment needs of other significant assets such as leisure centres and the Harrogate Convention Centre.
- 3.7 In terms of systems and process this is a continuing piece of work developing better integration of systems, and where required introducing new systems. This work is supported by the Technology team ensuring a one Council and one system approach. This also provides an opportune time to review existing process and practices within teams to ensure they are fit for purpose and represent value for money. As with many of the other actions outlined, as the services start to move into single service structures a number of the systems and process will follow.

- 3.8 **The Local Plan** – In terms of significant service area specific risks the development of a new Local Plan for North Yorkshire by 2028 is one of the key areas of focus. Progress has already been made with the Statement of Community Involvement out to consultation and the Local Development Scheme due to go to Executive in February 2024. A number of pieces of work are currently taking place to mitigate some of the risk associated with the local plan including the establishment of a Member Steering Group for plan making and the development of the North Yorkshire wide evidence base.
- 3.9 **Harrogate Convention Centre (HCC)** – This risk recognises the importance of HCC to the local economy and the need to ensure appropriate investment and operation of the convention centre. Work to mitigate risks include the development of construction designs for the investment in the centre, soft market testing for investment, ensuring ongoing repairs and maintenance take place and to continue to look for opportunities for investment to reduce the energy use of the building.
- 3.10 **Housing Regulations Compliance** – As a social landlord of c8,500 properties, it is important that North Yorkshire Council has the right approach to ensure it is regulatory compliant for its homes. This risk recognises that a broad range of new powers will be introduced in April 2024 and that the Council needs to make sure that it sufficiently prepares for these changes. Work has already commenced in reviewing the current preparedness of the former area Housing Revenue Accounts with the development of improvement plans for key actions required.
- 3.11 **Economic growth strategy** - This risk highlights the impact should the Council not deliver the ambition of Sustainable Economic Growth through the delivery of the right housing, connectivity infrastructure, and working within the devolution framework. This would result in an inability to attract, retain and grow businesses, increase the house building rate, raise living standards and increase spending power. A number of mitigations are in place to reduce this risk including partnership working with the LEP and the newly established MCA and ensuring funding opportunities are used to align with the Economic Growth Strategy aims.

## 4.0 CONCLUSIONS

- 4.1 This report highlights the key risks with the CDD and the mitigating actions being implemented to reduce or the likelihood and impact of them occurring.

## 5.0 RECOMMENDATION

### That the Committee:

- i) Note the Directorate Risk Register for Community Development; and
- ii) Provide feedback and comments on the Directorate Risk Register and related issues

## APPENDICES:

- Appendix A – Directorate Risk Register – Detailed  
Appendix B – Directorate Risk Register – Summary

**BACKGROUND DOCUMENTS:**

None

*Nic Harne*  
Corporate Director – *Community Development*  
County Hall  
Northallerton  
22/11/23

Report Author – *Nic Harne Corporate Director for Community Development and Paul Foster, Assistant Director for Resources*  
Presenter of Report – as above

Note: Members are invited to contact the author in advance of the meeting with any detailed queries or questions.

***PLEASE ALSO NOTE THAT IF ANY REPORTS / APPENDICES INCLUDE SIGNATURES THESE MUST BE REMOVED / DELETED PRIOR TO SENDING REPORTS / APPENDICES TO DEMOCRATIC SERVICES. Appendices should include an Equality Impact Assessment and a Climate Impact Assessment where appropriate***

# Community Development Directorate

Risk Register: **Annual review (Aug 2023) – detailed**  
 Next Review Due: **Feb 2024**  
 Report Date: **8<sup>th</sup> November2023 (pw)**

Phase 1 - Identification								
<b>Ref.</b>	CDE_4	<b>Title</b>	Restructure, Recruitment, Retention and Culture		<b>Risk Owner</b>	CD ComDev	<b>Risk Manager</b>	HoHR (ComDev)
<b>Risk Description</b>	Failure to bring together the existing teams as one council with sufficient skilled staff with customer focus and a defined performance framework to deliver quality services. Also the inability to recruit and retain sufficient skilled staff results in sub optimal performance, resourcing issues, increased workload pressures, criticism and missed opportunities including the ability to generate income				<b>Risk Group</b>	Staffing	<b>Linked Risk(s)</b>	
Phase 2 - Current Assessment								
Current Control Measures								
Corporate People Strategy; access to HR support; existing HR policy suites; manager inductions and upskilling; specialist support for restructures;								
<b>Current Probability</b>	H	<b>Current Impact</b>	H	<b>Current Risk Score</b>	16	<b>Current Risk Category</b>	High	
Phase 3 - Risk Mitigation Plan								
Reduction Action						<b>Action Manager</b>	<b>Due Date</b>	<b>Date Completed</b>
RR_CDE_12	Ensure consistent communication and support is provided to staff throughout the restructure process					HoHR (ComDev)	30-Apr-2024	
RR_CDE_13	Complete the restructure of teams and harmonisation of management systems and embedding of corporate custom and practice					HoHR (ComDev)	30-Apr-2024	
RR_CDE_14	Develop and implement a workforce plan to meet demand					HoHR (ComDev)	30-Apr-2024	
RR_CDE_15	Develop and implement a People strategy action plan to encourage the appropriate culture					HoHR (ComDev)	31-Aug-2024	
RR_CDE_16	Seek to maximise use of apprenticeship programme, grow your own and career path development					HR HoResSol	31-Aug-2024	
Phase 4 - Target Risk Assessment								
<b>Target Probability</b>	M	<b>Target Impact</b>	H	<b>Target Risk Score</b>	12	<b>Target Risk Category</b>	Medium High	
Phase 5 - Fallback Plan								
Fallback Plan								
Review and revise the People Strategy and Workforce Plan								

## Community Development Directorate

Risk Register: **Annual review (Aug 2023) – detailed**

Next Review Due: **Feb 2024**

Report Date: **8<sup>th</sup> November2023 (pw)**

Phase 1 - Identification								
Ref.	CDE_8	Title	Local Plan		Risk Owner	CD ComDev	Risk Manager	ComDev AD Plan
Risk Description	Failure to develop a Local Plan by 2028 as a framework to promote growth and support decision making around planning and development in North Yorkshire resulting in risk of appeals with resulting financial and workload implications adverse implications for the local economy and the Council's ambitions for growth and place making				Risk Group	Strategic	Linked Risk(s)	
Phase 2 - Current Assessment								
Current Control Measures								
LDF in preparation; head of service appointed; local plan working group								
Current Probability	H	Current Impact	H	Current Risk Score	<b>16</b>	Current Risk Category	High	
Phase 3 - Risk Mitigation Plan								
Reduction Action						Action Manager	Due Date	Date Completed
RR_CDE_44	Develop and implement a full Engagement Strategy					ComDev AD Plan	30-Apr-2024	
RR_CDE_45	Establish the PLACE ambition of the Council					ComDev AD Plan	30-Sep-2024	
RR_CPL_10	Revisit member engagement and decision making					ComDev AD Plan	31-Dec-2023	
RR_CPL_11	Roll out of a consolidated information system					ComDev AD Plan	31-Dec-2023	
RR_CPL_12	Establish and gain approval of the Local Development Scheme					ComDev AD Plan	31-Jan-2024	
RR_CPL_13	Establish an appropriate budget					ComDev AD Plan	31-Mar-2024	
RR_CPL_9	Formalise the service structures to support delivery					ComDev AD Plan	30-Apr-2024	
Phase 4 - Target Risk Assessment								
Target Probability	M	Target Impact	H	Target Risk Score	<b>12</b>	Target Risk Category	Medium High	

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<b>Phase 5 - Fallback Plan</b>
<b>Fallback Plan</b>
Rely on legacy plans and local plan as far as drafted and use of national guidance



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Next Review Due: **Feb 2024**

Report Date: **8<sup>th</sup> November2023 (pw)**

Phase 1 - Identification									
<b>Ref.</b>	CDE_12	<b>Title</b>	Harrogate Convention Centre			<b>Risk Owner</b>	CD ComDev	<b>Risk Manager</b>	ComDev Dir HCC
<b>Risk Description</b>	Failure to put in place an effective programme for Harrogate Convention Centre reinvestment/redevelopment and agree how the Centre operates in the future resulting in inability to maintain the present order book, missed commercial opportunities and inefficiency					<b>Risk Group</b>	Infrastructure	<b>Linked Risk(s)</b>	
Phase 2 - Current Assessment									
Current Control Measures									
Programme for redevelopment and business model in place; draft full business case and an HCC Strategic Review of Business Model Options from KPMG; condition surveys done; building services team in place; ongoing regular repairs;									
<b>Current Probability</b>	H	<b>Current Impact</b>	H	<b>Current Risk Score</b>	<b>16</b>	<b>Current Risk Category</b>	High		
Phase 3 - Risk Mitigation Plan									
Reduction Action							Action Manager	Due Date	Date Completed
RR_CDE_28	HCC - Prepare for a further decision regarding whether or not to progress any construction works once the final design and fixed costs are known and the Full Business Case has been finalised and any potential alternative options for investment.					ComDev Dir HCC	28-Feb-2024		
RR_CDE_30	Soft market testing for redevelopment and investment					ComDev Dir HCC	31-Dec-2023		
RR_CDE_31	Ensure on-going repair and maintenance					ComDev HoOps HCC	31-Dec-2023		
RR_CDE_32	Review and agree the HCC operational model					ComDev Dir HCC	28-Feb-2024		
RR_CDE_37	Ensure appropriate levels of staff by working with HR to manage a recruitment process for casual workers					ComDev HCC Mgt Tm	31-Mar-2024		
RR_CDE_38	Work with Finance to resolve issues arising with Oracle					ComDev EO HCC	31-Dec-2023		
RR_CDE_39	Review opportunities to reduce energy use by engaging Invest to Save					ComDev HoOps HCC	31-Dec-2023		
Phase 4 - Target Risk Assessment									
<b>Target Probability</b>	M	<b>Target Impact</b>	H	<b>Target Risk Score</b>	<b>12</b>	<b>Target Risk Category</b>	Medium High		

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<b>Phase 5 - Fallback Plan</b>
<b>Fallback Plan</b>
Review and revise Harrogate Convention Centre programme

## Community Development Directorate

Risk Register: **Annual review (Aug 2023) – detailed**

Next Review Due: **Feb 2024**

Report Date: **8<sup>th</sup> November2023 (pw)**

Phase 1 - Identification								
<b>Ref.</b>	CDE_6	<b>Title</b>	Health and Safety	<b>Risk Owner</b>	CD ComDev	<b>Risk Manager</b>	ComDev DMT	
<b>Risk Description</b>	Failure to operate appropriate Health and Safety practice across the Directorate resulting in serious injury to staff and potential prosecution			<b>Risk Group</b>	Health, Safety & Wellbeing	<b>Linked Risk(s)</b>		
Phase 2 - Current Assessment								
Current Control Measures								
Existing, individual legacy council arrangements;								
<b>Current Probability</b>	M	<b>Current Impact</b>	VH	<b>Current Risk Score</b>	15	<b>Current Risk Category</b>	High	
Phase 3 - Risk Mitigation Plan								
Reduction Action						Action Manager	Due Date	Date Completed
RR_CDE_21	Work with Directorate Health and Safety Manager to develop and implement the Directorate Health and Safety Plan.					ComDev DMT	30-Jun-2024	
RR_CDE_22	Ensure completion of mandatory health and safety training					ComDev DMT	30-Jun-2024	
RR_CDE_23	Engage with the roll out of the new lone worker solution					ComDev DMT	30-Jun-2024	
RR_CDE_24	Work with H&S to harmonise the risk assessment process within the Directorate					ComDev DMT	30-Jun-2024	
RR_CDE_46	Work to ensure compliance with Protect Duty legislation					ComDev AD CLAL; ComDev Dir HCC	30-Jun-2024	
Phase 4 - Target Risk Assessment								
<b>Target Probability</b>	L	<b>Target Impact</b>	VH	<b>Target Risk Score</b>	10	<b>Target Risk Category</b>	Medium High	
Phase 5 - Fallback Plan								
Fallback Plan								
Review existing arrangements and revise as required								

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Risk Register: **Annual review (Aug 2023) – detailed**

Next Review Due: **Feb 2024**

Report Date: **8<sup>th</sup> November2023 (pw)**

Phase 1 - Identification								
<b>Ref.</b>	CDE_10	<b>Title</b>	Housing Regulations	<b>Risk Owner</b>	CD ComDev	<b>Risk Manager</b>	ComDev AD Hou	
<b>Risk Description</b>	Failure to comply with housing legislation including preparing for the implementation of the new Social Housing Regulation Bill resulting in injury or ill health of tenants, prosecution and subsequent financial and reputational damage to the council.			<b>Risk Group</b>	Housing	<b>Linked Risk(s)</b>		
Phase 2 - Current Assessment								
Current Control Measures								
Existing, individual legacy council arrangements;								
<b>Current Probability</b>	M	<b>Current Impact</b>	VH	<b>Current Risk Score</b>	<b>15</b>	<b>Current Risk Category</b>	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	
Phase 4 - Target Risk Assessment								
<b>Target Probability</b>	L	<b>Target Impact</b>	H	<b>Target Risk Score</b>	<b>8</b>	<b>Target Risk Category</b>	Medium	
Phase 5 - Fallback Plan								
Fallback Plan								
Respond as necessary to any incident, carry out lessons learned review								

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Next Review Due: **Feb 2024**

Report Date: **8<sup>th</sup> November2023 (pw)**

Phase 1 - Identification								
Ref.	CDE_2	Title	Financial Challenges		Risk Owner	CD ComDev	Risk Manager	RES AD (PF)
Risk Description	Failure to manage the revenue budget due to increased costs (such as energy, inflation in the supply chain), demands and reduced income, together with delivery of transformation savings requirements results in budgetary pressure, missed opportunities and internal / external criticism				Risk Group	Financial	Linked Risk(s)	
Phase 2 - Current Assessment								
Current Control Measures								
Existing arrangements from legacy councils continue to manage budgets; reporting to strategic budget managers (management team) on a regular basis; Q reporting to management board and Members;								
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_CDE_1	Understand the overall financial position of the Directorate post LGR					RES AD (PF)	31-Aug-2024	
RR_CDE_3	Review pricing strategies across services and apply for central government support and funds where possible					RES AD (PF)	31-Aug-2024	
RR_CDE_4	Continue with existing ongoing energy efficiency measures					ComDev AD CLAL; ComDev AD Hou; ComDev Dir HCC	31-Aug-2024	
RR_CDE_5	HRA – carry out integration and business planning					ComDev AD Hou; RES AD (PF)	31-Dec-2023	
RR_CDE_6	Develop transformation and budget saving plan to enable the delivery of the transformation agenda including income generation measures					ComDev DMT	31-Oct-2023	
RR_CDE_7	Implement the transformation and budget saving plan					ComDev DMT	31-Aug-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 budget spending plans and implement action plan								

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Phase 1 - Identification								
<b>Ref.</b>	CDE_3	<b>Title</b>	Service integration		<b>Risk Owner</b>	CD ComDev	<b>Risk Manager</b>	ComDev DMT
<b>Risk Description</b>	Failure to bring together the existing systems and processes into a single service operating model for NYC results in ineffective and inconsistent approach to operations and decision making, reduced performance, increase in challenge and missed opportunities.				<b>Risk Group</b>	Change Mgt	<b>Linked Risk(s)</b>	
Phase 2 - Current Assessment								
Current Control Measures								
Existing legacy council systems and processes; outcomes from LGR working group; work has commenced on a unified approach to upgrades; Tech team are mapping all the integration between systems;								
<b>Current Probability</b>	H	<b>Current Impact</b>	M	<b>Current Risk Score</b>	12	<b>Current Risk Category</b>	Medium High	
Phase 3 - Risk Mitigation Plan								
Reduction Action						<b>Action Manager</b>	<b>Due Date</b>	<b>Date Completed</b>
RR_CDE_10	Work to regularise processes and practice across the services					ComDev DMT	30-Jun-2024	
RR_CDE_11	Work with Technology and Transformation to review business processes and then design a single version of each system, representing the whole county					ComDev DMT	31-Mar-2025	
RR_CDE_8	Work with Technology to map current installations and integrations					ComDev DMT	31-Dec-2023	
RR_CDE_9	Work to bring the teams together into single NYC services					ComDev DMT	30-Jun-2024	
Phase 4 - Target Risk Assessment								
<b>Target Probability</b>	M	<b>Target Impact</b>	M	<b>Target Risk Score</b>	9	<b>Target Risk Category</b>	Medium	
Phase 5 - Fallback Plan								
Fallback Plan								

## Community Development Directorate

Risk Register: **Annual review (Aug 2023) – detailed**

Next Review Due: **Feb 2024**

Report Date: **8<sup>th</sup> November2023 (pw)**

Phase 1 - Identification								
Ref.	CDE_11	Title	Capital Programme		Risk Owner	CD ComDev	Risk Manager	RES AD (PF)
Risk Description	Failure to put together a sustainable capital programme including Housing (HRA), Recreation and Sport, Regeneration Schemes such as Catterick LUF, Scarborough and Whitby Towns Fund and Harrogate Convention Centre redevelopment resulting in budget overspends, loss of reputation				Risk Group	Financial	Linked Risk(s)	
Phase 2 - Current Assessment								
Current Control Measures								
budgets in place; maximise grants available; budget monitoring; project and budget managers in place; grant funding for some projects in place; Capital Programme Plan; Capital Boards in place such as Housing and Regeneration including specific project and programme boards;								
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_CDE_26	Ensure appropriate plans for projects are developed and agreed					ComDev DMT	31-Aug-2024	
RR_CDE_27	Continue budget and progress monitoring of all Schemes including reporting and escalating through Corporate Boards					ComDev DMT	31-Aug-2024	
RR_CDE_28	HCC - Prepare for a further decision regarding whether or not to progress any construction works once the final design and fixed costs are known and the Full Business Case has been finalised and any potential alternative options for investment.					ComDev Dir HCC	28-Feb-2024	
RR_CDE_29	HCC - Develop a phased programme of works					ComDev EO HCC; ComDev HoOps HCC	30-Nov-2024	
RR_CDE_47	Develop a leisure investment strategy					ComDev AD CLAL	31-Aug-2024	
Phase 4 - Target Risk Assessment								
Target Probability	L	Target Impact	H	Target Risk Score	8	Target Risk Category	Medium	
Phase 5 - Fallback Plan								
Fallback Plan								
Review capital projects and revise plan								

## Community Development Directorate

Risk Register: **Annual review (Aug 2023) – detailed**

Next Review Due: **Feb 2024**

Report Date: **8<sup>th</sup> November2023 (pw)**

Phase 1 - Identification								
Ref.	CDE_7	Title	Growth	Risk Owner	CD ComDev	Risk Manager	ComDev AD EDRTS	
Risk Description	Failure to deliver the ambition of Sustainable Economic Growth through the delivery of the right housing and connectivity infrastructure and working with the emerging devolution deal. This results in an inability to attract, retain and grow businesses, increase the house building rate, raise living standards and increase spending power.			Risk Group	Strategic	Linked Risk(s)		
Phase 2 - Current Assessment								
Current Control Measures								
Direct contribution and support, including through provision of accountable body function, to the YNYER Local Enterprise Partnership; maintenance of an Economic Growth Function within BES; Proactive engagement in LGNY partnership working including through Directors of Development, Chief Housing Officers, Heads of Planning and Economic Development Officer Groups; Lead role in enabling and further developing YNYERH Spatial Framework; Lead role in supporting and developing the NYCC Growth Plan Steering Group and sub-ordinate arrangements; Lead role in initiating and developing the NYCC Economic Growth Plan and annual Delivery Framework (endorsed by Executive); Devolution deal provisionally agreed subject to public consultation								
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_CEC_2	Maintain good working relationship with the LEP (including work to align LEP funding initiatives with Council Initiatives and with the Directors of Development master planning funding, Coordinated devolution asks.					CD ComDev	30-Jun-2024	
RR_CEC_3	Continue to understand and investigate any impacts of new legislation and funding streams; ex EU Funding now becoming UK funding streams eg. CRF, Levelling Up and Shared Prosperity Fund					CD ComDev; ComDev AD EPU	30-Jun-2024	
RR_CEC_5	Continue to monitor the Devolution agreement and communication with stakeholders to maximise opportunities (ongoing); the York/NY geography is being used in some areas of growth work (ongoing)					ComDev AD EDRTS	30-Jun-2024	
RR_CEC_6	Continue to review priorities and allocate resources to any Central Government changes (eg. Funding opportunities such as Shared Prosperity Funds, Levelling up, National Planning legislation (Duty to Cooperate and infrastructure funding)					ComDev AD EDRTS	30-Jun-2024	
RR_CEC_7	Incentivise digital communication (rural network) and continue to lobby for longer term solutions and funding in this area of growth;					ComDev AD EDRTS	30-Jun-2024	
Phase 4 - Target Risk Assessment								
Target Probability	L	Target Impact	H	Target Risk Score	8	Target Risk Category	Medium	



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<b>Phase 5 - Fallback Plan</b>
<b>Fallback Plan</b>
Review and revise existing arrangements for sustainable economic growth

## Community Development Directorate

Risk Register: **Annual review (Aug 2023) – detailed**

Next Review Due: **Feb 2024**

Report Date: **8<sup>th</sup> November2023 (pw)**

Phase 1 - Identification								
Ref.	CDE_13	Title	Devolution		Risk Owner	CD ComDev	Risk Manager	Dir of Transition
Risk Description	Delay to successfully implement Devolution enabling the election of a mayor by May 2024 results in loss of opportunities for North Yorkshire				Risk Group	Strategic	Linked Risk(s)	
Phase 2 - Current Assessment								
Current Control Measures								
Programme management function in place; micro site set up for sharing information with the public; interim Director of Transition appointed; joint committee created to act as shadow combined authority and meeting bi-monthly; legal governance procedures completed to create a combined authority (part 1); ongoing engagement with DLUHC regarding the Order; structured reporting into Local Authority chief executives and Leaders in place;								
Current Probability	L	Current Impact	VH	Current Risk Score	10	Current Risk Category	Medium High	
Phase 3 - Risk Mitigation Plan								
Reduction Action						Action Manager	Due Date	Date Completed
RR_CDE_40	Weekly engage with DLUHC to ensure progress					Dir of Transition	31-May-2024	
RR_CDE_41	Structured reporting into Chief Execs and Leaders					Dir of Transition	31-May-2024	
RR_CDE_42	Joint committee meets bi-monthly with a forward plan of progress reports					Dir of Transition	31-May-2024	
RR_CDE_43	Ensure that the LA chief executives approve the Order in Sept and for Whitehall to lay the order before Parliament in October.					Dir of Transition	30-Sep-2023	
RR_ENV_18	Develop and implement full implementation plan – Part 2 - implement the content of the devolution deal					Dir of Transition	31-May-2024	
RR_ENV_19	Develop and implement full implementation plan – Part 3 - develop and implement the combined authority organisational structure and associated functions					Dir of Transition	31-Jan-2024	
Phase 4 - Target Risk Assessment								
Target Probability	VL	Target Impact	VH	Target Risk Score	5	Target Risk Category	Medium	
Phase 5 - Fallback Plan								
Fallback Plan								

## Community Development Directorate

Risk Register: **Annual review (Aug 2023) – detailed**  
 Next Review Due: **Feb 2024**  
 Report Date: **8<sup>th</sup> November2023 (pw)**

Phase 1 - Identification									
<b>Ref.</b>	CDE_5	<b>Title</b>	Information Governance and Data Security			<b>Risk Owner</b>	CD ComDev	<b>Risk Manager</b>	ComDev DMT
<b>Risk Description</b>	Ineffective information governance arrangements leading to unacceptable levels of unauthorised disclosure of personal and sensitive data, vulnerability to cyber attack and poor quality or delayed responses to FoI requests in the context of merging systems and processes into a single service resulting in impact on service users, loss of reputation, poor decision making and fines					<b>Risk Group</b>	Info Gov	<b>Linked Risk(s)</b>	
Phase 2 - Current Assessment									
Current Control Measures									
Existing arrangements from legacy councils; mandatory training;									
<b>Current Probability</b>	M	<b>Current Impact</b>	M	<b>Current Risk Score</b>	9	<b>Current Risk Category</b>	Medium		
Phase 3 - Risk Mitigation Plan									
Reduction Action							Action Manager	Due Date	Date Completed
RR_CDE_17	Ensure mandatory training is carried out and complete further training with staff on info gov matters, particularly in regard to any areas highlighted following breaches					ComDev DMT	31-Mar-2024		
RR_CDE_18	Ensure Directorate BCPs are kept up to date and periodically exercised to increase preparedness for a cyber attack.					ComDev DMT	31-Mar-2024		
RR_CDE_19	Ensure robust governance and training arrangements in respect of volunteers					ComDev AD CLAL	31-Mar-2024		
RR_CDE_20	Make contact with the Data Governance and review present position on information governance arrangements					RES AD (PF)	31-Dec-2023		
Phase 4 - Target Risk Assessment									
<b>Target Probability</b>	L	<b>Target Impact</b>	M	<b>Target Risk Score</b>	6	<b>Target Risk Category</b>	Medium		
Phase 5 - Fallback Plan									
Fallback Plan									
Review and revise Action Plan and new technology and continue to raise awareness									

## Community Development Directorate

Risk Register: **Annual review (Aug 2023) – summary**

Next Review Due: **Feb 2024**

Report Date: **8<sup>th</sup> November2023 (pw)**

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	<b>CDE_4 Restructure, Recruitment, Retention and Culture</b>	Failure to bring together the existing teams as one council with sufficient skilled staff with customer focus and a defined performance framework to deliver quality services. Also the inability to recruit and retain sufficient skilled staff results in sub optimal performance, resourcing issues, increased workload pressures, criticism and missed opportunities including the ability to generate income	CD ComDev	HoHR (ComDev)	H	H	16	High	M	H	12	Medium High	✓
new	<b>CDE_8 Local Plan</b>	Failure to develop a Local Plan by 2028 as a framework to promote growth and support decision making around planning and development in North Yorkshire resulting in risk of appeals with resulting financial and workload implications adverse implications for the local economy and the Council's ambitions for growth and place making	CD ComDev	ComDev AD Plan	H	H	16	High	M	H	12	Medium High	✓
new	<b>CDE_12 Harrogate Convention Centre</b>	Failure to put in place an effective programme for Harrogate Convention Centre reinvestment/redevelopment and agree how the Centre operates in the future resulting in inability to maintain the present order book, missed commercial opportunities and inefficiency	CD ComDev	ComDev Dir HCC	H	H	16	High	M	H	12	Medium High	✓
new	<b>CDE_6 Health and Safety</b>	Failure to operate appropriate Health and Safety practice across the Directorate resulting in serious injury to staff and potential prosecution	CD ComDev	ComDev DMT	M	VH	15	High	L	VH	10	Medium High	✓
new	<b>CDE_10 Housing Regulations</b>	Failure to comply with housing legislation including preparing for the implementation of the new Social Housing Regulation Bill resulting in injury or ill health of tenants, prosecution and subsequent financial and reputational damage to the council.	CD ComDev	ComDev AD Hou	M	VH	15	High	L	H	8	Medium	✓
new	<b>CDE_2 Financial Challenges</b>	Failure to manage the revenue budget due to increased costs (such as energy, inflation in the supply chain), demands and reduced income, together with delivery of transformation savings requirements results in budgetary pressure, missed opportunities and internal / external criticism	CD ComDev	RES AD (PF)	M	H	12	Medium High	M	M	9	Medium	✓

## Community Development Directorate

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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?
new	<b>CDE_3 Service integration</b>	Failure to bring together the existing systems and processes into a single service operating model for NYC results in ineffective and inconsistent approach to operations and decision making, reduced performance, increase in challenge and missed opportunities.	CD ComDev	ComDev DMT	H	M	12	Medium High	M	M	9	Medium	✘
new	<b>CDE_11 Capital Programme</b>	Failure to put together a sustainable capital programme including Housing (HRA), Recreation and Sport, Regeneration Schemes such as Catterick LUF, Scarborough and Whitby Towns Fund and Harrogate Convention Centre redevelopment resulting in budget overspends, loss of reputation	CD ComDev	RES AD (PF)	M	H	12	Medium High	L	H	8	Medium	✔
new	<b>CDE_7 Growth</b>	Failure to deliver the ambition of Sustainable Economic Growth through the delivery of the right housing and connectivity infrastructure and working with the emerging devolution deal. This results in an inability to attract, retain and grow businesses, increase the house building rate, raise living standards and increase spending power.	CD ComDev	ComDev AD EDRTS	M	H	12	Medium High	L	H	8	Medium	✔
new	<b>CDE_13 Devolution</b>	Delay to successfully implement Devolution enabling the election of a mayor by May 2024 results in loss of opportunities for North Yorkshire	CD ComDev	Dir of Transition	L	VH	10	Medium High	VL	VH	5	Medium	✘
new	<b>CDE_5 Information Governance and Data Security</b>	Ineffective information governance arrangements leading to unacceptable levels of unauthorised disclosure of personal and sensitive data, vulnerability to cyber attack and poor quality or delayed responses to FoI requests in the context of merging systems and processes into a single service resulting in impact on service users, loss of reputation, poor decision making and fines	CD ComDev	ComDev DMT	M	M	9	Medium	L	M	6	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.