

North Yorkshire Council

Audit Committee

9 December 2024

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 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	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 (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. 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 3 summaries these risks and provides commentary as to the actions taking place to minimise and mitigate them occurring. The risks have been grouped into thematic areas with the first three covering broader cross cutting risks and the next four covering the most significant service specific risks. Committee will note that several areas of particular high risk from the previous year have now reduced, for example around restructures, with other risks now more prevalent and of concern, for example around Housing Regulations.

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 were former district/borough services there has been a significant amount of restructuring work undertaken over the past year to bring eight organisations into one. The majority of this work has now completed and as a result the risk has been reduced within the overall plan. The only substantial restructure remaining for 2025/26 is within the Leisure service where the restructure in this area was split into three phases due to leisure services coming back in-house in a phased way. In addition there remain challenges for this part of the service in aligning working practices around freelancers and casual staff in a way that meets both wider corporate policies and the needs of the service.

- 3.2 The main risk now under this theme is more around workforce recruitment, retention and culture. Over the last year the Directorate has placed significant emphasis on reducing the use of agency workers, something which was particularly acute within the Planning service. Since the 1 April 2023 the number of Agency workers within the Planning service has reduced from c22 FTE to 9 FTE agency workers. Work continues to align planning systems to allow a further reduction with the aim to get to as near to zero as possible. In order to facilitate this, several rounds of recruitment have taken place. Recruitment will continue on a periodic basis to fill remaining roles and ensure resources seek to meet demand for the service. Similarly, significant recruitment campaigns have been undertaken within housing and specifically around compliance and housing maintenance. As set out in this report at paragraph 3.10, Housing compliance is one of our key service risks. Ensuring we have a sufficient, well trained, and motivated workforce is a key part of our improvement work in this area.
- 3.3 **Health and safety** – this is another overarching risk for the Directorate which was considered a higher risk last year due to large numbers of new services coming together as part of Local Government Reorganisation (LGR). Work has taken place over the past year developing and implementing the Directorate health and safety plan. In addition, significant emphasis has been placed on ensuring mandatory training is taking place across the range of services and locations within the Council. It is also important to highlight that as the new structures have been embedded that work, where possible, to harmonise practices and ensure a single corporate approach to health and safety and compliance has been undertaken.
- 3.4 **Financial challenges, capital programme and service integration** – as with many of the other risks, one of the key challenges for the CDD over the past 18 months has been in bringing together the information and finances of eight organisations into one. Significant work has taken place over the past year to develop a single position for the Directorate which will allow for better financial planning and management of budgets. This work continues to evolve and although largely complete (with the exception of the incoming leisure services) there are still detailed areas requiring more refinement.
- 3.5 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, monitoring and reporting mechanisms have been put in place through the capital programme to ensure the programmes run effectively. In addition to those existing programmes, plans continue to be developed 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.
- 3.6 In terms of service integration (systems and processes) this is a continuing piece of work. This work is supported by the Technology team ensuring a one Council and one system approach. With teams now in a single structure for NYC ensuring the systems alignment is critical to ensure good service and for related savings to be recognised. Key areas of systems alignment are around Planning, Housing and Leisure services.

- 3.7 **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 adoption of the Statement of Community Involvement and the Local Development Scheme. Several pieces of work completed over the past year to mitigate some of the risk associated with the local plan including the establishment of a local plan budget, a Member Steering Group for plan making and the development of the North Yorkshire wide evidence base framework. However, key challenges have emerged in this area with government consultation on changes to the planning system. The changes proposed are significant and may impact on the delivery timescales for the plan.
- 3.8 **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 this risk over the past year have included work around investment options for the centre and exploring more commercial ways of operating. This work has also included soft market testing to understand the appetite for private sector investment in the venue. As part of the ongoing work a report with investment options will be presented to the Executive in late 2024. A number of actions to improve the day-to-day operation of the centre have also been identified including the provision of more dedicated property support and a review of delegations for the Director of the venue.
- 3.9 **Housing Regulations** – 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. Following new powers introduced in April 2024 the Council referred itself to the Regulator of Social Housing (RSH) as not meeting the new standards. This was confirmed by the RSH with a C3 rating for the Council. In addressing this a number of actions are underway as part of the housing improvement plan including compliance, management and tenant workstreams. Audit work on rents has also been carried out and in addition a new Overview and Scrutiny Committee has been established to provide more time for housing related work.
- 3.10 **Growth** - 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 newly established Mayoral Combined Authority (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 within 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

Risk Register: **Annual review (Sep 2024) – detailed**
 Next Review Due: **March 2025**
 Report Date: **1st November 2024 (cpc)**

Phase 1 - Identification								
Ref.	CDE_10	Title	Housing Regulations		Risk Owner	CD ComDev	Risk Manager	ComDev AD Hou
Risk Description	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.				Risk Group	Housing	Linked Risk(s)	CHO_8; CRR_11
Phase 2 - Current Assessment								
Current Control Measures								
Existing, individual legacy council arrangements; housing stock condition and governance improvement plan developed								
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 and status		Date Completed
RR_CDE_25	Deliver the neighbourhood and community elements of the improvement plan				ComDev AD Hou	31-Jul-2025		
RR_CHO_22	Utilise Veritau to audit work against the “big six” risks under RSH (Regulator of Social Housing) regime; need to revisit this with a focus on data; some audit work carried out, further in depth work to do and workplan to be agreed				ComDev AD Hou	31-Mar-2025		
RR_CHO_29	Deliver the safety and quality elements of the improvement plan; external consultancy support being employed to assist with this aspect				ComDev AD Hou	31-Jul-2025		
RR_CHO_30	Deliver the tenancy elements of the improvement plan				ComDev AD Hou	31-Jul-2025		
RR_CHO_31	Deliver the transparency elements of the improvement plan				ComDev AD Hou	31-Jul-2025		
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								
Respond as necessary to any incident, carry out lessons learned review								

Risk Register: **Annual review (Sep 2024) – detailed**
 Next Review Due: **March 2025**
 Report Date: **1st November 2024 (cpc)**

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)	CPL_8
Phase 2 - Current Assessment								
Current Control Measures								
Local Plan in preparation; head of service appointed and new staff structure in place; local plan working group; member engagement and decision making via the Development Plan Committee; consolidated information system (Objective) procured; Budget and key milestones agreed by council								
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 and status	Date Completed	
RR_CDE_44	Develop and implement a full Engagement Strategy; ongoing early stakeholder engagement well underway				ComDev Plan HoPP&P	31-Jul-2025		
RR_CDE_45	Consult on the issues and options for growth strategy and other local plan policy areas				ComDev Plan HoPP&P	31-Jul-2025		
RR_CPL_12	Establish and gain approval of the Local Development Scheme incl key milestones; going to cabinet in Jan and Exec on 6th Feb				ComDev Plan HoPP&P	29-Feb-2024		06-Feb-2024
RR_CPL_13	Establish an appropriate budget				ComDev Plan HoPP&P	31-Mar-2024		06-Feb-2024
RR_CPL_23	Continue proactive engagement with elected members and other key stakeholders				ComDev Plan HoPP&P	31-Jul-2025		
RR_CPL_24	Develop a robust evidence base to support the policies in the plan				ComDev Plan HoPP&P	31-Jul-2025		
RR_CPL_25	Ensure consultees respond in a timely way to site assessment work				ComDev Plan HoPP&P	31-Jul-2025		
RR_CPL_26	Monitor and respond to government consultations on changes to the planning system; response provided to consultation on fundamental changes to national planning policy, awaiting final changes (expected Jan 2025) to understand full impact on Local Plan				ComDev Plan HoPP&P	31-Jul-2025		
RR_CPL_9	Complete implementation of the structure and form the new single policy and place team				ComDev Plan HoPP&P	31-Jul-2025		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								
Rely on legacy plans and local plan as far as drafted and use of national guidance								

Risk Register: **Annual review (Sep 2024) – detailed**
 Next Review Due: **March 2025**
 Report Date: **1st November 2024 (cpc)**

Phase 1 - Identification									
Ref.	CDE_12	Title	Harrogate Convention Centre			Risk Owner	CD ComDev	Risk Manager	ComDev Dir HCC
Risk Description	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					Risk Group	Infrastructure	Linked Risk(s)	CHC_2
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;									
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 and status	Date Completed	
RR_CDE_28	HCC - Obtain Mgt Board decision on future business model and decision in principle for refurbishment (Studio 2); Studio 2 proposal going to Exec in Dec with procurement to commence in Jan 2025 if agreed.					ComDev Dir HCC	31-Jan-2025		
RR_CDE_30	Soft market testing for redevelopment and investment					ComDev Dir HCC	31-Dec-2023		31-Aug-2024
RR_CDE_31	Ensure on-going repair and maintenance; continue engagement with new property colleagues over future maintenance processes					ComDev HCC HoOps	31-Jul-2025		
RR_CDE_32	Review and agree the HCC operational model; working with Finance, Legal and HR to develop the required 5-10 year business plan to support the proposed operating model					ComDev Dir HCC; RES AD (PF)	31-Mar-2025		
RR_CDE_37	Ensure appropriate customer service delivery by working with HR to manage the recruitment process for casual workers					ComDev HCC Mgt Tm	31-Jul-2025		
RR_CDE_38	Continue to work with Finance to resolve issues arising with Oracle whilst developing a case for change through review of HCC business model re use of Oracle / Matrix and other systems and processes which have negative effects on HCC efficiency and customer delivery					ComDev HCC Comm Mgr	31-Jul-2025		
RR_CDE_39	Continue to review opportunities to reduce energy use by engaging in Invest to Save and improved detailed management of heating controls					ComDev HCC HoOps	31-Jul-2025		
RR_CHC_3	Martyn's law - review and Implement the 43 recommendations from security review; subject to funding agreement					ComDev HCC HoOps	31-Jul-2026		
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									
Review and revise Harrogate Convention Centre programme									

Risk Register: **Annual review (Sep 2024) – detailed**
 Next Review Due: **March 2025**
 Report Date: **1st November 2024 (cpc)**

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								
Established NYC teams continue to manage budgets; reporting to strategic budget managers (management team) on a regular basis; Q reporting to management board and Members; pricing strategies across services reviewed								
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 and status		Date Completed
RR_CDE_1	Understand the overall financial position of the Directorate; need to complete the work on budget convergence				RES AD (PF)	30-Nov-2024		
RR_CDE_3	Continue to apply for central government support and funds where possible				RES AD (PF)	31-Aug-2025		
RR_CDE_4	Continue with existing ongoing energy efficiency measures				ComDev AD CLAL; ComDev AD Hou; ComDev Dir HCC	31-Aug-2025		
RR_CDE_5	HRA – carry out integration and business planning; done and now BAU				ComDev AD Hou; RES AD (PF)	31-Dec-2023		30-Sep-2024
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		31-Jan-2024
RR_CDE_7	Implement the transformation and budget saving plan; on track for 24/25, new plan to be developed as part of 25/26 budget				ComDev DMT	31-Jan-2025		
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								

Risk Register: **Annual review (Sep 2024) – detailed**
 Next Review Due: **March 2025**
 Report Date: **1st November 2024 (cpc)**

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 and status	Date Completed		
RR_CDE_26	Ensure appropriate plans for projects are developed and agreed				ComDev DMT	31-Aug-2025			
RR_CDE_27	Continue budget and progress monitoring of all Schemes including reporting and escalating through Corporate Boards				ComDev DMT	31-Aug-2025			
RR_CDE_28	HCC - Obtain Mgt Board decision on future business model and decision in principle for refurbishment (Studio 2); Studio 2 proposal going to Exec in Dec with procurement to commence in Jan 2025 if agreed.				ComDev Dir HCC	31-Jan-2025			
RR_CDE_29	HCC - Develop a phased programme of works				ComDev HCC Comm Mgr; ComDev HCC HoOps	31-Jan-2025			
RR_CDE_47	Develop a leisure investment strategy				ComDev AD CLAL	31-Aug-2025			
RR_CDE_51	Work with MCA and other stakeholders on future capital regeneration related opportunities				ComDev AD CLAL; RES AD (PF)	31-Aug-2025			
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									

Risk Register: **Annual review (Sep 2024) – detailed**
 Next Review Due: **March 2025**
 Report Date: **1st November 2024 (cpc)**

Phase 1 - Identification								
Ref.	CDE_3	Title	Service integration		Risk Owner	CD ComDev	Risk Manager	ComDev DMT
Risk Description	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.				Risk Group	Change Mgt	Linked Risk(s)	
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;								
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 and status	Date Completed	
RR_CDE_10	Work to regularise processes and practice across the services				ComDev DMT	31-Mar-2025		
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; project in place for planning with go live between Jan – Mar 25 to align core case management systems				ComDev DMT	31-Mar-2025		
RR_CDE_13	Complete the restructure of teams and harmonisation of management systems and embedding of corporate custom and practice (main reviews complete, final teams and phase two of leisure to complete in 2025)				HoHR (ComDev)	31-Aug-2025		
RR_CDE_8	Work with Technology to map current installations and integrations				ComDev DMT	31-Dec-2023	31-Mar-2024	
RR_CDE_9	Work to bring the teams together into single NYC services				ComDev DMT	31-Mar-2025		
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								
Continue operation of existing systems								

Risk Register: **Annual review (Sep 2024) – detailed**
 Next Review Due: **March 2025**
 Report Date: **1st November 2024 (cpc)**

Phase 1 - Identification								
Ref.	CDE_6	Title	Health and Safety		Risk Owner	CD ComDev	Risk Manager	ComDev DMT
Risk Description	Failure to operate appropriate Health and Safety practice across the Directorate resulting in serious injury to staff and potential prosecution				Risk Group	Health, Safety & Wellbeing	Linked Risk(s)	
Phase 2 - Current Assessment								
Current Control Measures								
Existing, individual legacy council arrangements;								
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 and status	Date Completed	
RR_CDE_21	Work with Directorate Health and Safety Manager to develop and implement the Directorate Health and Safety Plan; overall plan and sub plans for leisure and housing now developed and being implemented				ComDev DMT	31-Jul-2025		
RR_CDE_22	Ensure completion of mandatory health and safety training				ComDev DMT	31-Jul-2025		
RR_CDE_23	Engage with the roll out of the new lone worker solution				ComDev DMT	31-Jul-2025		
RR_CDE_24	Work with H&S to harmonise the risk assessment process within the Directorate; SharePoint Library in place				ComDev DMT	31-Jul-2025		
RR_CDE_46	Work to ensure compliance with Protect Duty legislation				ComDev AD CLAL; ComDev Dir HCC	31-Jul-2025		
RR_CDE_49	Ensure engagement with Property service to clarify roles and responsibilities for property related H&S matters				ComDev DMT	31-Jul-2025		
RR_CDE_50	Ensure consistency of approach to Construction Design and Management (CDM) regulations across all areas.				ComDev DMT	31-Jul-2025		
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 existing arrangements and revise as required								

Risk Register: **Annual review (Sep 2024) – detailed**
 Next Review Due: **March 2025**
 Report Date: **1st November 2024 (cpc)**

Phase 1 - Identification									
Ref.	CDE_4	Title	Restructure, Recruitment, Retention and Culture			Risk Owner	CD ComDev	Risk Manager	HoHR (ComDev)
Risk Description	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					Risk Group	Staffing	Linked Risk(s)	
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; maximising use of apprenticeship programme, grow your own and career path development;									
Current Probability	M	Current Impact	M	Current Risk Score	9	Current Risk Category	Medium		
Phase 3 - Risk Mitigation Plan									
Reduction Action						Action Manager	Due Date and status	Date Completed	
RR_CDE_12	Ensure consistent communication and support is provided to staff throughout the restructure process and transformation processes					HoHR (ComDev)	31-Aug-2025		
RR_CDE_13	Complete the restructure of teams and harmonisation of management systems and embedding of corporate custom and practice (main reviews complete, final teams and phase two of leisure to complete in 2025)					HoHR (ComDev)	31-Aug-2025		
RR_CDE_15	Develop and implement a People Strategy action plan to encourage the appropriate culture; currently agreeing priorities and initial projects within the directorate (including feedback from the staff survey)					HoHR (ComDev)	31-Aug-2025		
RR_CDE_52	Continue with specific campaigns for hard to recruit to areas within the Directorate					HoHR (ComDev); HR HoResSol	31-Aug-2025		
RR_CDE_53	Continue to provide support to managers on HR policies and processes					HoHR (ComDev)	31-Aug-2025		
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 the People Strategy									

Risk Register: **Annual review (Sep 2024) – detailed**
 Next Review Due: **March 2025**
 Report Date: **1st November 2024 (cpc)**

Phase 1 - Identification									
Ref.	CDE_5	Title	Information Governance and Data Security			Risk Owner	CD ComDev	Risk Manager	ComDev DMT
Risk Description	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					Risk Group	Info Gov	Linked Risk(s)	
Phase 2 - Current Assessment									
Current Control Measures									
Existing arrangements from legacy councils; mandatory training;									
Current Probability	M	Current Impact	M	Current Risk Score	9	Current Risk Category	Medium		
Phase 3 - Risk Mitigation Plan									
Reduction Action						Action Manager	Due Date and status	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-Aug-2025		
RR_CDE_18	Ensure Directorate BCPs are kept up to date and periodically exercised to increase preparedness for a cyber attack.					ComDev DMT	31-Aug-2025		
RR_CDE_19	Ensure robust governance and training arrangements in respect of volunteers					ComDev AD CLAL	31-Aug-2025		
RR_CDE_20	Make contact with the Data Governance and review present position on information governance arrangements					RES AD (PF)	31-Mar-2025		
Phase 4 - Target Risk Assessment									
Target Probability	L	Target Impact	M	Target Risk Score	6	Target Risk Category	Medium		
Phase 5 - Fallback Plan									
Fallback Plan									
Review and revise Action Plan and new technology and continue to raise awareness									

Risk Register: **Annual review (Sep 2024) – detailed**
 Next Review Due: **March 2025**
 Report Date: **1st November 2024 (cpc)**

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 that enables people and places to prosper; new and existing business to thrive and grow; a productive and skilled workforce; culture, heritage, arts and sustainable tourism to all play their part and the County to have a high profile and receive its fair share of resources. This results in an inability to attract, retain and grow businesses, increase the number of strategic employment and housing sites, raise living standards and increase spending power.				Risk Group	Strategic	Linked Risk(s)	CEC_2
Phase 2 - Current Assessment								
Current Control Measures								
Economic Growth Function within Community Development; Proactive engagement in Y&NY CA Growth Board; Lead role in monitoring and delivery of the NYC Economic Growth Strategy (2024-2029); Delivery of Shared prosperity fund; Working with YNY local skills improvement plan advisory board								
Current Probability	M	Current Impact	M	Current Risk Score	9	Current Risk Category	Medium	
Phase 3 - Risk Mitigation Plan								
Reduction Action					Action Manager	Due Date and status		Date Completed
RR_CEC_2	Establish and maintain good joint working relationship with the YNYCA to align economic and skills strategy and funding; weekly officer meetings, internal Mgt Board updates and monthly cross council meetings				CD ComDev	31-Aug-2025		
RR_CEC_3	Continue to understand and investigate any impacts of new legislation and funding streams, eg arising from the new government October 24 spending review and National Planning Policy Framework (NPPF)				CD ComDev; ComDev AD EPU	31-Aug-2025		
RR_CEC_31	Embed the agreed joint approach to, and working practices for, business advice and inward investment with the MCA and CoYC				ComDev AD EDRTS	31-Aug-2025		
RR_CEC_32	Monitor delivery of the Economic Growth Strategy for North Yorkshire and produce annual report for Exec				ComDev AD EDRTS	31-Aug-2025		
RR_CEC_33	Work with YNYCA and other stakeholders to deliver the NY Local Skills Improvement Plan (LSIP) and ensure that Local Skills Improvement Fund (LSIF) meets NY skill priorities.				ComDev AD EDRTS	31-Aug-2025		
RR_CEC_35	Carry out review of points of delivery for strategic skills across NY				ComDev AD EDRTS	31-Aug-2025		
RR_CEC_36	Raise the profile of and investment in NY businesses via UK Real Estate Investment and Infrastructure Forum (UKREiif) in May 2025 and NY business week in June 2025				ComDev AD EDRTS	31-Aug-2025		
RR_CEC_37	Ensure that we prioritise the development and delivery of key regeneration schemes across the county				ComDev AD EDRTS	31-Aug-2025		
RR_CEC_38	Develop a clear action plan for the growth strategy and agree the associated performance monitoring				ComDev AD EDRTS	31-Mar-2025		
RR_CEC_39	Work with MCA to develop a clear strategic narrative / pipeline of projects to maximise external funding for economic growth				ComDev AD EDRTS	31-Aug-2025		
RR_CEC_5	Carry out a review of business centre provision across NY and work with NYC property team to rationalise and develop a business centre delivery model across North Yorkshire				ComDev AD EDRTS	31-Mar-2025		

Risk Register: **Annual review (Sep 2024) – detailed**

Next Review Due: **March 2025**

Report Date: **1st November 2024 (cpc)**

RR_CEC_6	Deliver year 3 of the shared prosperity fund as accountable body and then evaluate the 3 year programme and use this to inform future structural funding	ComDev AD EDRTS	31-Mar-2025		
RR_CEC_7	Ensure adequate focus on marine and renewable sectors as important local economic development targets; industry seminar being held in April 2025	ComDev AD EDRTS	31-Aug-2025		
Phase 4 - Target Risk Assessment					
Target Probability	L	Target Impact	M	Target Risk Score	6
				Target Risk Category	Medium
Phase 5 - Fallback Plan					
Fallback Plan					
Review and revise existing arrangements for sustainable economic growth					

Risk Reduction Action Status Key	
Symbol	Meaning
	The risk reduction action is overdue for completion or review.
	The risk reduction action is approaching its expected completion or review date.
	The risk reduction action is on target.
	The risk reduction action has been completed.

Community Development Directorate

Appendix B

Risk Register: **Annual review (Sep 2024) – summary**

Next Review Due: **March 2025**







Report Date: **1st November 2024 (cpc)**




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?
↑	CDE_10 Housing Regulations	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	H	VH	20	Very High	M	H	12	Medium High	✓
▬	CDE_8 Local Plan	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	✓
↓	CDE_12 Harrogate Convention Centre	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	M	H	12	Medium High	M	H	12	Medium High	✓
▬	CDE_2 Financial Challenges	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	✓
▬	CDE_11 Capital Programme	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	✓
▬	CDE_3 Service integration	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	M	H	12	Medium High	L	H	8	Medium	✓
↓	CDE_6 Health and Safety	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	H	12	Medium High	L	H	8	Medium	✓

Risk Register: **Annual review (Sep 2024) – summary**

Next Review Due: **March 2025**

Report Date: **1st November 2024 (cpc)**

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?
	CDE_4 Restructure, Recruitment, Retention and Culture	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)	M	M	9	Medium	M	M	9	Medium	
	CDE_5 Information Governance and Data Security	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	
	CDE_7 Growth	Failure to deliver the ambition of sustainable economic growth that enables people and places to prosper; new and existing business to thrive and grow; a productive and skilled workforce; culture, heritage, arts and sustainable tourism to all play their part and the County to have a high profile and receive its fair share of resources. This results in an inability to attract, retain and grow businesses, increase the number of strategic employment and housing sites, raise living standards and increase spending power.	CD ComDev	ComDev AD EDRTS	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.