

NORTH YORKSHIRE COUNCIL

AUDIT COMMITTEE

17 March 2025

RISK MANAGEMENT – PROGRESS REPORT

Report of the Corporate Director – Resources

1.0 PURPOSE OF THE REPORT

- 1.1 To receive details of the Corporate Risk Register for the Council and the links between Directorate Risk Registers and the Corporate Risk Register.
- 1.2 To receive details of the outcome of the audit of risk management that took place in 2024.

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 CORPORATE RISK REGISTER

3.1 The Corporate Risk Register (CRR) has been fully revised this year by the Chief Executive and Management Board in February 2025. An interim review is scheduled to be carried out in July 2025. The register is the culmination of the identification of significant risks that are identified at Directorate and Service levels.

3.2 The Register attached at **Appendix A** reflects the risks presently facing the 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.

3.3 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 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 (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.

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

New or Significantly Changed risks

- SEND High Need Budget – reflecting the continuing financial pressures in this area.
- Major Schemes – looking at the challenges in delivering key transport, coastal and regeneration schemes.
- Funding Challenges – this risk was previously combined with the Transformation risk, but it was felt appropriate to have a stand-alone risk, with an expanded action plan following the intended reform of the local government funding system.
- Housing Regulation – this risk was previously combined with a general property risk and will now allow greater focus on the housing regulation related risk aspects.

Risks with an improved ranking since the last review

- Climate Change – this remains a red risk on the register but has been categorised as high (down from very high) following a reassessment of the impact against the rating criteria.
- Information Governance and Cyber Security – categorisation moved from high to medium/high to reflect the increase in confidence of our ability to repel and respond to cyber-attacks.
- Recruitment, retention and resources – moved from high to medium/high to reflect the large amount of work done post LGR to ensure sufficient staffing levels.
- Significant Incidents – moved from medium high to medium in recognition of the Council's work with partners in responding to a series of significant weather related events

With regard to the remaining risks (Transformation and Care Markets), the rankings have stayed the same (as shown on the summary in the left hand column of **Appendix A**).

4.0 LINKS BETWEEN CORPORATE AND DIRECTORATE RISK REGISTERS

- 4.1 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**.

5.0 ADDITIONAL RISK PRIORITISATION EXERCISES

- 5.1 As well as the updates 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 the Levelling Up Fund project at Catterick Garrison with ongoing discussions around other areas / schemes to cover. The offer of risk management support for these additional exercises is available to all areas of the Council.

6.0 AUDIT OF RISK MANAGEMENT

- 6.1 Early in 2024, an audit of Risk Management within the Council was carried out by Veritau. The purpose of the audit was to provide assurance to management that procedures and controls within the system ensured that:

- Risk management processes align to the new risk management policy and procedure.
- Appropriate governance arrangements are in place to oversee risk management.
- Risk registers are in place and reviewed consistently to effectively identify, measure, and assess risks.
- Actions to reduce and mitigate risks are clearly assigned to responsible officers and progress is monitored.

- 6.2 The outcome of the audit was an overall opinion of **Substantial Assurance** and stated, “A sound system of governance, risk management and control exists, with internal controls operating effectively and being consistently applied to support the achievement of objectives in the area audited.”

7.0 RECOMMENDATIONS

That the Committee:

- (i) Notes the updated Corporate Risk Register (**Appendix A**) and the links between Directorate Risk Registers and the Corporate Risk Register (**Appendix B**)
- (ii) Notes the positive outcome of the audit of risk management within the Council.

GARY FIELDING
Corporate Director – Resources

County Hall, Northallerton

March 2025

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Corporate Risk Register

Appendix A

Risk Register: **Annual review (February 2025) – summary**
 Next Review Due: **July 2025**
 Report Date: **20th February 2025 (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?
new	CRR_16 SEND High Need Budget	Risk of further increased pressure on the budget given the current legislative framework, increased demand for specialist provision up to age 25 and budget reduction pressure resulting in negative impact on DSG, poor service performance and criticism.	CD CYPS	CYPS AD Incl	VH	VH	25	Very High	VH	H	20	Very High	✔
new	CRR_15 Major Schemes	Failure to deliver the programme of major transport, regeneration and coastal engineering schemes resulting in impact on the council's growth plan, negative impact on national and regional partner relations, increased coastal erosion and loss of coastal assets.	Chief Exec	CD ComDev; CD ENV	VH	VH	25	Very High	M	H	12	Medium High	✔
↓	CRR_12 Climate Change	Failure to deliver the Council's aspirations for 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 unmet public expectation and missed opportunities for external funding	CD ENV	ENV AD E&T	H	H	16	High	H	H	16	High	✔
new	CRR_17 Funding Challenges	Growing financial pressures arising from increased service demand along with inadequate funding available to the Council to discharge its statutory responsibilities and to meet public expectation for the medium term resulting in legal challenge, unbalanced budget and public dissatisfaction.	Chief Exec	CD RES	H	H	16	High	H	H	16	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	✔

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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_11 Housing Regulation Compliance	Failure to comply with housing legislation including the Social Housing (Regulation) Act and achieve a satisfactory grade with the Regulator of Social Housing, resulting in injury or ill health of tenants, prosecution and subsequent financial penalty and reputational damage to the council.	CD ComDev	ComDev AD Hou	H	H	16	High	M	H	12	Medium High	
	CRR_13 North Yorkshire Transformation Programme	Failure to deliver a coherent NY transformation programme and alignment to the target operating model. In bringing eight pre-existing authorities to form one new council for North Yorkshire while delivering service operational requirements and savings requirements	Chief Exec	CD RES	H	H	16	High	M	H	12	Medium 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	M	H	12	Medium High	M	H	12	Medium High	
	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	M	H	12	Medium 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	L	H	8	Medium	L	H	8	Medium	

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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.

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Risk Register: **Annual review (February 2025) – detailed**

Next Review Due: **July 2025**

Report Date: **20th February 2025 (cpc)**

Phase 1 - Identification								
Ref.	CRR_16	Title	SEND High Need Budget		Risk Owner	CD CYPS	Risk Manager	CYPS AD Incl
Risk Description	Risk of further increased pressure on the budget given the current legislative framework, increased demand for specialist provision up to age 25 and budget reduction pressure resulting in negative impact on DSG, poor service performance and criticism.				Risk Group	Financial	Linked Risk(s)	CYP_2; YIN_2
Phase 2 - Current Assessment								
Current Control Measures								
Experienced team and leaders; awareness of Schools Forum; robust data available; management of out-of-authority placements spend; implementing Personal Learning Pathways; Schools Forum approved funding framework; FE network; central contracting and commissioning service; local transition groups in place; budget reviewed incl. roles and responsibilities; revised Resource Allocation System weightings; Strategic plan for SEND Education provision issued; and those extra actions identified outside of the plan (eg. profile raising with schools and settings, buffering the spend across the year, reprofiling PRS and EMS); use of top up funding for children with SEN support to reduce need for stat assmnt request; Independent review of decision making carried out; new funding model for the PRS embedded and reviewed; Capital programme to increase special school capacity								
Current Probability	VH	Current Impact	VH	Current Risk Score	25	Current Risk Category	Very High	
Phase 3 - Risk Mitigation Plan								
Reduction Action					Action Manager	Due Date and status		Date Completed
RR_CYP_1	Continue to ensure the Schools Forum is aware of the funding risks and challenges it faces; provision of more detailed information to schools via headteacher briefings				CYPS AD Incl	30-Sep-2025		
RR_CYP_10	Carry out review of sufficiency in services for provision of SEND linked to DfE Better Value Programme; review has led to development of capital programme, work will continue on the efficiency aspects				CYPS AD Incl	31-Mar-2025		
RR_CYP_11	Ensure that service dashboards reflect the criteria for each of the key inspection areas and are monitored on a regular basis				CYPS AD C&F; CYPS AD E&S; CYPS AD Incl	31-Aug-2025		
RR_CYP_12	Ensure pre inspection readiness within CYPS for the inspections of LA services, and for schools within the inspection window by continual monitoring of performance and identifying areas for further improvement by assessing their impact (ongoing); dashboards will help improve this area; responding to OFSTED findings through review of local area plans				CYPS AD C&F; CYPS AD E&S; CYPS AD Incl; RES AD (HE)	31-Aug-2025		
RR_CYP_2	Continue to work towards the Strategic Plan aims of early identification of children with SEN and provision of timely support and services (included those that are jointly commissioned) to meet that need thereby reducing the requirement for more costly interventions later; this will be an element of the High Needs Block strand under the transformation agenda; also published local area strategy which includes the early identification work;				CYPS AD Incl; CYPS Incl HoSEND	30-Sep-2025		
RR_CYP_3	Continue to build local capacity to cope with need, undertaking the work needed to reshape SEND provision in North Yorkshire so that it is fit for purpose and addresses the gaps in provision, underpinned by the strategic plan (capital plan agreed April 2023 with a long term target of 350 extra places first starting from Sept 2025); additional High needs provision capital allocations (HNPCA) spend to be agreed at CYPLT				CYPS AD Incl	31-May-2025		
RR_CYP_4	Work to maintain contributions from HAS and Health on a case by case basis as part of the new transitions process; good case by case work being carried out; further work being carried out to develop an agreed standard tool				CYPS AD Incl	30-Sep-2025		
RR_CYP_5	Complete the work around quality assurance and contract management for out of county placements and then rolling out and embedding; included within transformation work				CYPS AD Incl	30-Sep-2025		

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RR_CYP_6	Continue to progress the good work with partners to build choice at post 16 and post 19; progress made but ongoing work continues; review carried out with Adult learning, further work to do with external partners	CYPS AD Incl	30-Sep-2025		
RR_CYP_8	Embed and review the targeted mainstream provision that replace the EMS model; nine provisions established; about to embark on a further campaign to attract new schools; thirteen in place and working towards a further four	CYPS AD Incl	30-Sep-2025		
RR_CYP_85	Carry out a SEND and High Needs programme board (Monthly) feeding into a deep dive into High Needs and SEND each quarter (Incl DBV)	CYPS AD Incl; RES AD (HE)	30-Sep-2025		
RR_CYP_9	Continue with the SEND Delivering Better Value Programme	CYPS AD Incl	31-Mar-2025		
RR_CYP_90	Deliver the High Needs and SEN Programme of transformation to achieve financial sustainability (eg. Digital EHCP, SEND Capital Programme, Inclusion Hub remodelling and better data management)	CYPS AD Incl	31-Mar-2026		
RR_YIN_25	Implement plan to ensure we have adequate Ed Psych support including external provision, whilst working on recruiting staff to substantive posts; review the effectiveness of the EPS hybrid model introduced to address capacity issues and improve timeliness; being supported by international recruitment; principal EP in place	CYPS AD Incl	30-Sep-2025		
RR_YIN_64	Implement better use of systems and data including, establishing data sharing agreements and obtaining SEN partnership agreement on key data and data sets	CYPS AD Incl	30-Sep-2025		
Phase 4 - Target Risk Assessment					
Target Probability	VH	Target Impact	H	Target Risk Score	20
				Target Risk Category	Very High
Phase 5 - Fallback Plan					
Fallback Plan					
Redirection of resources from areas that have achieved savings					

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Risk Register: **Annual review (February 2025) – detailed**

Next Review Due: **July 2025**

Report Date: **20th February 2025 (cpc)**

Phase 1 - Identification								
Ref.	CRR_15	Title	Major Schemes		Risk Owner	Chief Exec	Risk Manager	CD ComDev; CD ENV
Risk Description	Failure to deliver the programme of major transport, regeneration and coastal engineering schemes resulting in impact on the council's growth plan, negative impact on national and regional partner relations, increased coastal erosion and loss of coastal assets.			Risk Group	Infrastructure	Linked Risk(s)	CDE_11; ENV_8	
Phase 2 - Current Assessment								
Current Control Measures								
Programme in place for delivery of NYC Council promoted schemes; support being provided to the third party scheme promoters; risk analysis for each scheme undertaken; effective engagement with nominated H&T rep(s) and NYC in delivery of SEP funded schemes; necessary local contributions secured for the schemes in the LEP programme that are being delivered (August 2021); detailed list of coastal plans and schemes; shoreline management plan (with discrete coastal strategies for specific areas); LEVI delivery team in place; 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	VH	Current Impact	VH	Current Risk Score	25	Current Risk Category	Very 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_51	Work with MCA and other stakeholders on future capital regeneration related opportunities				ComDev AD CLAL; RES AD (PF)	31-Aug-2025		
RR_EHT_102	Develop on street EV charging strategy and technical solution				ENV H&I HoMP&I	31-Jul-2025		
RR_EHT_103	Ongoing management of the Kex Gill project in live delivery and maintain progress on site dealing with technical and financial challenges, progress updates to be provided throughout the works via the agreed governance arrangements and use of the central portal				ENV H&I HoMP&I	30-Apr-2026		
RR_EHT_108	Continue to monitor and manage risks around harbours, including implementation of the approved list of harbour infrastructure projects				ENV H&I E&CPMgr	31-Jul-2025		
RR_EHT_20	Continue to engage with the wider strategic partnership and support them to manage risks associated with specific scheme programmes (ongoing)				CD ENV	31-Jul-2025		
RR_EHT_21	Continue to ensure sufficient resources to effectively deliver schemes (ongoing)				ENV AD H&I	31-Jul-2025		
RR_EHT_23	Continue to work closely with WSP (and where appropriate, Align Property Partners) to ensure that resources match programme of transport schemes requirements (ongoing)				ENV AD H&I	31-Jul-2025		
RR_EHT_24	Understand pipeline opportunities medium to long term in order to maximise LG changes in respect of Devolution and combined authority status				ENV AD H&I	31-Jul-2025		

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RR_EHT_98	Implement this year's Environment Agency approved coastal programme (permission to apply for grant going for Exec approval)	ENV H&I E&CPMgr	31-Jul-2025		
RR_ETR_41	Develop long term strategy for harbours (includes infrastructure and economic aspects)	ENV R&H HoH	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					
Work with partners on collaborative approach to ensure risk is captured at an early stage and responsibilities are understood					

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Risk Register: **Annual review (February 2025) – detailed**

Next Review Due: **July 2025**

Report Date: **20th February 2025 (cpc)**

Phase 1 - Identification								
Ref.	CRR_12	Title	Climate Change		Risk Owner	CD ENV	Risk Manager	ENV AD E&T
Risk Description	Failure to deliver the Council's aspirations for 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 unmet public expectation and missed opportunities for external funding			Risk Group	Environmental	Linked Risk(s)	ECC_5; ENV_13	
Phase 2 - Current Assessment								
Current Control Measures								
Leadership commitment; Executive member with portfolio responsibilities; Climate Change Champion post; 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; NYC Climate Change Strategy adopted Jul 23; Climate Change Delivery Pathway approved by Exec Aug 24								
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_ECC_16	Continue utilisation of £1m pump-priming fund established in MTFS to support implementation of NYC Climate Change Strategy			ENV AD E&T	31-Jul-2025			
RR_ECC_17	Ongoing review of the effectiveness of the climate change impact assessment tool to reflect new climate change strategy and ensure that it is efficient in enabling decision makers to better understand the impact of the decisions that they are being asked to make, alternative governance opportunities are also being explored to better strengthen climate change impact on decision making			ENV AD E&T	31-Jul-2025			
RR_ECC_18	Work through the detailed property related considerations; proposals to be developed through the property service once fully restructured including a property decarbonisation plan. Climate change business partner appointed to Resources Directorate will assist with this			ENV AD E&T; RES CP&P HoPC&FM	31-Jul-2025			
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 E&T	31-Jul-2025			
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 E&T	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, supported through the climate change business partners			ENV AD E&T	31-Jul-2025			
RR_ECC_33	Work to ensure that the Council's Local Plan and Local Transport Plan include appropriate responses to climate change, officers continue to be involved in the relevant service teams			ENV AD E&T	31-Jul-2025			
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, funding secured from DESNZ to develop a strategic energy partnership (green finance model) in support of this (linked to RR_ECC_18)			ENV AD E&T	31-Jul-2025			

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RR_ECC_35	Measure and report on our emissions and plan how and when we will hit our target using a nationally recognised formula to calculate carbon emissions from delivering the services which are under our direct control. Ongoing work to quantify our carbon footprint and utilise available/limited data sources. Undertaking work to submit to the external carbon reporting framework (CDP) in addition to climate emergency scorecards. Working with Strategy and Policy colleagues to incorporate climate change reporting into future Q reports	ENV AD E&T	31-Jul-2025		
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; Directorate action plans developed in collaboration with each directorate, ongoing work to support the delivery of this through climate change business partners	ENV AD E&T	31-Jul-2025		
RR_ECC_49	Create a NY Council carbon credit / offsetting strategy linked to our defined carbon footprint and trajectory which helps identify options for utilising carbon credits or offsetting future carbon emissions	ENV AD E&T	31-Jul-2025		
RR_ECC_50	Continue to work and strengthen our relationship with the MCA on the York and North Yorkshire Routemap to Carbon Negative, regional decarbonisation projects and future opportunities for net zero funding.	ENV AD E&T	31-Jul-2025		
RR_ENV_42	Agree and deliver an annual programme of flood risk management schemes	ENV AD H&I	31-Jul-2025		
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 strategy and implementation methods					

Corporate Risk Register

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Risk Register: **Annual review (February 2025) – detailed**

Next Review Due: **July 2025**

Report Date: **20th February 2025 (cpc)**

Phase 1 - Identification								
Ref.	CRR_17	Title	Funding Challenges		Risk Owner	Chief Exec	Risk Manager	CD RES
Risk Description	Growing financial pressures arising from increased service demand along with inadequate funding available to the Council to discharge its statutory responsibilities and to meet public expectation for the medium term resulting in legal challenge, unbalanced budget and public dissatisfaction.				Risk Group	Financial	Linked Risk(s)	RES_3
Phase 2 - Current Assessment								
Current Control Measures								
Delivery of a sustainable budget supported by a transformation/savings programme alongside budget consolidation, and monitoring/reporting on a quarterly basis; For HAS, weekly budget scrutiny meetings are taking place in the Directorate to monitor financial pressures, including monitoring of care market, provider sustainability and impact of hospital discharge; an ASC Budget Recovery Plan is in place; sub group of Schools Forum to implement high needs strategic plan;; regular meetings and action plan for SEND in place; proposals for savings and growth have been built into the budget; robust programme for high needs/SEN to identify cost reduction measures developed; challenge and intervention framework implemented to assist/instruct schools to take measures to address their financial position; finance staff deployed into schools with the biggest financial challenges to ensure schools balance their budget; finance resources targeted at areas of highest risk.; discussions at Management Team level regarding supplier resilience with a view to targeted proactive interventions into the market; Robust financial management arrangements in place through delivery of significant capital projects; Grant funding actively pursued.								
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_CRR_42	Develop longer term strategies for investment relating to capital, regeneration, building maintenance backlogs				CD RES	31-Jan-2026		
RR_CRR_43	Identify and advocate on SEND funding pressures with DfE				CD RES	31-Jan-2026		
RR_CRR_44	Constantly review budget and MTFs in year and as part of the annual exercise				CD RES	31-Jan-2026		
RR_CRR_46	Identify and advocate on Regeneration project funding with Combined Authority				CD RES	31-Jan-2026		
RR_CRR_47	Ensure that voices are heard in consultations, particularly for proposed changes to the reform of local government funding				CD RES	31-Jan-2026		
RR_RES_14	Continue to lobby DHSC, DfE, ESFA, MPs, DLUHC and HMT on a number of issues such as school and social care funding – both directly and through f40, MPs, professional societies and work with the NHS to share risks where possible and ensure correct level of Health funding contributes to costs				RES AD (AH); RES AD (HE)	31-Jul-2025		
RR_RES_16	Implement and monitor a programme of works for high needs/SEN and continue to engage with the DfE's Delivering Better Value in SEND programme to identify cost mitigation measures (ongoing) - see CRR_16				RES AD (HE)	31-Jul-2025		
RR_RES_17	Implement agreed actions in relation to Social Care Market pressures including care and support delivery hubs				RES AD (AH)	31-Jul-2025		
RR_RES_20	Ensure the Council maximises the opportunities of external funding from Central Government and the Combined Authority				RES LT	31-Oct-2025		

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RR_RES_67	Put in place Directorate service plans supported by deliverable and ambitious savings actions; working through phase 2 of savings planning, looking at 25/26 onwards feeding in to MTF5; including an independent review of deliverability of service plans			RES AD (ALL)	31-Jan-2026		
RR_RES_70	Actively monitor and manage Finances of large Capital projects and include appropriate risk and contingency schemes (ongoing) - see CRR_15			RES AD (ALL)	31-Oct-2025		
RR_RES_71	Develop robust financial business cases for investments and invest to save opportunities (ongoing)			RES AD (ALL)	31-Oct-2025		
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 deployment of Resources in light of present and emerging financial pressures							

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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)	CYP_3; HAS_2; HSC_3; YCF_2
Phase 2 - Current Assessment								
Current Control Measures								
<p>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; Use of Quality Assessment Tool; quality mgt and contract mgt separated; Quality Pathway; quality policies revised</p> <p>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;</p>								
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_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. Project in place for the additional capacity for children's homes, looking at DfE match funding. Likely to be combination of purpose built facility and / or reusing housing stock. Went to CYPLT in Dec and Mgt Brd in Jan (likely 2 yr programme if build involved); awaiting final Mgt Board approval				CYPS C&F HoPS	31-Aug-2025		
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; also developing a Return Home panel to oversee those children who have been in care long term and where we could achieve a change in plan to Return Home to Family				CYPS C&F HoCP&FR	31-Aug-2025		
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, looking at wellbeing areas and the feedback from a number of service specific staff surveys to help inform recruitment and retention work				CYPS C&F HoCP&FR	31-Aug-2025		
RR_CYP_23	Continued liaison via foster carer association chairs meeting to ensure effective ongoing communication, response to concerns and management of overall relationship with foster carers				CYPS C&F HoPS	31-Aug-2025		

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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); capacity increased by c50 but more beds needed, project group working on identifying properties and matching grant funding for this	CYPS C&F HoPS	31-Aug-2025		
RR_HSC_105	Implement ethical decision protocol where concerns are raised over the use of overseas workers; now BAU	HAS AD ASC (RB)	30-Sep-2024		30-Sep-2024
RR_HSC_106	Risk assess the market regarding the percentage of overseas workers within a provider's workforce	HAS AD ASC (RB)	30-Sep-2024		30-Sep-2024
RR_HSC_107	Review sustainability of providers who are providing support a long way from their commercial base; done	HAS AD ASC (RB)	30-Sep-2024		30-Sep-2024
RR_HSC_108	Continue to implement multi agency approach with ICB on issues with overseas workers; council is a super spoke for international recruitment	HAS AD ASC (RB)	30-Sep-2025		
RR_HSC_11	Work at a system level (ICS) with partners to mitigate the impact of workplace shortages; ongoing	HAS all ASC ADs ; HAS HoHR	30-Sep-2025		
RR_HSC_12	Complete recommissioning of all approved provider lists;	HAS AD PSD (AB)	28-Feb-2024		29-Feb-2024
RR_HSC_13	Continue to 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-2025		
RR_HSC_16	Use the review of the QIT pilot to plan future quality oversight, done	HAS AD ASC (RB)	30-Sep-2024		30-Sep-2024
RR_HSC_17	Continue working with the care market to establish more robust services in NY for those with complex needs linked to improvement priority; plans in place for new approach to commission complex needs care	HAS AD ASC (RB)	30-Sep-2025		
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-2025		
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-2025		
RR_HSC_20	Monitor issues caused by the changing landscape of ICS and LGR and raise at HASLT where appropriate; done	HAS AD PSD (AB)	30-Sep-2024		30-Sep-2024
RR_HSC_24	Continue to work with market development board to monitor and manage interventions in the care market	HAS AD PSD (AB)	30-Sep-2025		
RR_HSC_9	Develop a business case for upgrade of county-wide care and support hubs to help alleviate care home affordability issue; approved by Exec Jan 25	HAS AD PSD (AB)	31-Jan-2025		07-Jan-2025
RR_YCF_39	Establish the Reducing Children in Care Board and embed new processes for overseeing those situations where children are at risk of being accommodated or have entered care and have a plan of reunification.	CYPS C&F HoCP&FR	31-Aug-2025		

Phase 4 - Target Risk Assessment

Target Probability	H	Target Impact	H	Target Risk Score	16	Target Risk Category	High
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Risk Register: **Annual review (February 2025) – detailed**
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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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Phase 1 - Identification								
Ref.	CRR_11	Title	Housing Regulation Compliance		Risk Owner	CD ComDev	Risk Manager	ComDev AD Hou
Risk Description	Failure to comply with housing legislation including the Social Housing (Regulation) Act and achieve a satisfactory grade with the Regulator of Social Housing, resulting in injury or ill health of tenants, prosecution and subsequent financial penalty and reputational damage to the council.				Risk Group	Legislative	Linked Risk(s)	CDE_10; CHO_8
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	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_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								

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Phase 1 - Identification									
Ref.	CRR_13	Title	North Yorkshire Transformation Programme			Risk Owner	Chief Exec	Risk Manager	CD RES
Risk Description	Failure to deliver a coherent NY transformation programme and alignment to the target operating model. In bringing eight pre-existing authorities to form one new council for North Yorkshire while delivering service operational requirements and savings requirements				Risk Group	Strategic	Linked Risk(s)	CSD_3; RTR_2	
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 and status	Date Completed		
RR_CRR_38	Deliver cross cutting transformation themes in order to further improve effectiveness and deliver savings (eg customer workstream, the way we work) and look for future cross cutting transformation themes				RES Dir Transf	31-Jul-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_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-Mar-2025			
RR_CSD_18	Management Board to agree (29 February) a revised approach to the transformational programme for North Yorkshire Council incorporating an outline strategy document and governance arrangements, an operating model, the approach to culture change, an outline delivery programme for the MTFs and convergence. This will also include an agreement on initial cross cutting themes such as customer and the way we work				CD RES; RES Dir Transf	31-Mar-2024		31-Mar-2024	
RR_CSD_19	Ensure an effective technology plan is in place to drive the required system convergence in support of transformation priorities				RES AD Tech	31-Jul-2025			
RR_RES_23	Identify all statutory and policy driven initiatives across the Council which require some form of transformation; including within the convergence work				ACE LDS	31-Jul-2025			
RR_RES_24	Produce a consolidated programme plan; We have clarity of the elements of the programme that are linked to the MTFs, nearing completion on the plan for convergence of teams.				RES Dir Transf	31-Mar-2024		31-Mar-2024	
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-2025			
RR_RES_80	Continue to review and improve the Transformation Programme, ensuring clarity around aims and objectives				RES Dir Transf	31-Jul-2025			
RR_RTR_14	Further develop the Target Operating Model and introduce systems to ensure compliance				RES Dir Transf	31-Oct-2025			

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RR_RTR_15	Develop a cultural change programme to ensure we continue to work together as a single coherent and effective unitary council			All Mgt Board	31-Mar-2025		
RR_RTR_16	Establish clarity around stronger teams and moving towards a converged position			RES Dir Transf	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							
Carry out a full review and ensure an effective revision of the transformation and savings programme plan							

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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; RES_2		
Phase 2 - Current Assessment									
Current Control Measures									
<p>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;</p> <p>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;</p> <p>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;</p> <p>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;</p>									
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_CSD_5	Continue further improvement of information risk management processes; revised service register in place further work will progress via CIGG			RES AD Tech	31-Jul-2025				
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; technology and RET teams working together to establish interdependencies and priorities			Loc Eng HoR&E	31-Jul-2025				
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	31-Mar-2025				
RR_RES_75	Monitor the delivery and effectiveness of the Information Management and Governance Strategy, and update if required			CD RES; Veritau	31-Oct-2025				
RR_RES_76	Ensure that mitigating actions are carried out as a result of lessons learned from data breaches			RES AD Tech	31-Jul-2025				
RR_RES_77	Deliver ongoing communications and training to raise awareness of Information Governance risks and council policies (ongoing)			CD RES; Veritau	31-Oct-2025				

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RR_RES_8	Continue to review resourcing to ensure required delivery of Veritau service (ongoing)			CD RES	31-Oct-2025		
RR_RES_9	Continue a review of IG procedures and providing support to the Brierley Group of Companies;			CD RES; Veritau	31-Jul-2025		
RR_RES_90	Carry out no-notice cyber exercise to test robustness of disaster recovery and business continuity plans			CD RES	31-Jul-2025		
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-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							
Review and revise Action Plan and new technology and continue to raise awareness.							

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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)	HHR_8	
Phase 2 - Current Assessment									
Current Control Measures									
<p>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;</p> <p>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</p> <p>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;</p>									
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_CRR_10	Focus on recruitment to entry level posts alongside career pathways (apprentices and trainees where recruitment is more successful)				ACE HR&BS	31-Jul-2025			
RR_CRR_2	Ensure opportunities and progression through development are provided to staff through internal career pathways and 'organisation for life' approach				ACE HR&BS	31-Jul-2025			
RR_CRR_3	Ensure the organisation designs and provides good work and is a 'good employer' through its actions and practice, includes shared commitment and the use of innovative technologies to improve the employment experience				ACE HR&BS	31-Jul-2025			
RR_CRR_36	Minimise the use of agency workers and external consultants to short term emergency requirements; as a commitment to offering permanent work, building established team/service dynamics and communication of the benefits of working for the organisation (ongoing)				ACE HR&BS	31-Jul-2025			
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	31-Jul-2025			
RR_CRR_4	Continue to enable hybrid working to provide flexibility to employees and necessary services and recognise the attraction of this approach in the labour market				ACE HR&BS	31-Jul-2025			
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	31-Jul-2025			
RR_CRR_6	Continue to develop and offer good terms and conditions and an innovative package of voluntary benefits, whilst maintaining our ability to operate in competitive environments				ACE HR&BS	31-Jul-2025			

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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	31-Jul-2025		
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	31-Jul-2025		
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	31-Jul-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 resource allocation where possible and consider additional funding and capacity where required					

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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; LEN_2
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	L	Current Impact	H	Current Risk Score	8	Current Risk Category	Medium	
Phase 3 - Risk Mitigation Plan								
Reduction Action					Action Manager	Due Date and status	Date Completed	
RR_LEN_2	Continue to work with new and existing partners in Public Health England, the NHS, the wider North Yorkshire local resilience forum and the new Combined Authority to share the information and messages of reassurance being issued by the lead agencies				Dir Public Health	31-Jul-2025		
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-2025		
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-2025		
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-2025		
RR_LEN_5	Understand resource pressures including the Impact of LGR and those in multi-faceted roles on our ability to respond to emergencies				ACE Loc Eng	31-Jul-2025		
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-2025		
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-2025		
Phase 4 - Target Risk Assessment								
Target Probability	L	Target Impact	H	Target Risk Score	8	Target Risk Category	Medium	
Phase 5 - Fallback Plan								

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Fallback Plan

Embedded practice based on Response to Major and Critical Incident protocols

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.

