

# NORTH YORKSHIRE COUNCIL

## AUDIT COMMITTEE

16 March 2026

### 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 2025.

#### 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 2026. An interim review is scheduled to be carried out in July 2026. 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 most significant 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 help 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	<b>Very Low</b> (tolerate)	Risk should not appear in risk register.
	3 - 4	<b>Low</b> (tolerate)	Regular monitoring, action plan not essential, acceptable just to maintain current controls.
	5 - 9	<b>Medium</b> (treat)	Frequent monitoring, action plan required.
	10-12	<b>Medium High</b> (treat)	Frequent monitoring, action plan required to prevent from becoming a red risk.
	15 - 16	<b>High</b> (treat)	Constant monitoring, action plan required and escalation to next level for consideration / inclusion.
	20 - 25	<b>Very High</b> (treat / terminate)	Constant monitoring, action plan required and escalation to next level with request for inclusion. Consider terminating activity (if an option) where score cannot be reduced by risk mitigation.

- 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**

- **Children’s care market.** Elements of this issue were previously included within the *Major Failure in the Care Markets* risk, but ongoing pressures mean it is now being treated as a distinct risk in its own right.

## **Risks with an improved ranking since the last review**

- **Climate Change** – this is now an amber risk (medium high) down from a red risk following a reassessment of the reputational impact against the agreed rating criteria.
- **SEND High Need Budget** – whilst this risk remains in the very high category, its risk score has been reduced from 25 to 20. The risk is due to be further reviewed in April by the CYPS Directorate including consideration of the impact of the Schools White Paper.

## **Risks with an worsening ranking since the last review**

- **Information Governance and Cyber Security** – this risk has returned to red (high) from amber (medium–high) following an increase in attempted cyber-attacks on the corporate network.

All other risks have unchanged rankings (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 MANAGEMENT ACTIVITY**

- 5.1 As well as the updates of Corporate, Directorate and Service risk registers, additional support is provided to facilitate workshops or review existing risk work for specific areas of activity in the Council. Currently, these include the Levelling Up Fund project at Catterick Garrison, Town Investment Plans, Pride in Place Programme, and the development of Care Hubs in Health and Adult Services. The offer of risk management support for such additional activities is available to all areas of the Council.

## **6.0 AUDIT OF RISK MANAGEMENT**

- 6.1 In April 2025, 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:

- Arrangements are in place for identifying, managing and reporting risks, in line with corporate requirements.
- Staff involved in risk management are aware of, and comply with, their responsibilities.
- Actions to reduce and mitigate risks are clearly assigned to responsible officers and progress is monitored.

The audit included a review of what evidence there was of challenge during the periodic review of risk registers, as well as the rationale behind any score changes.

- 6.2 The outcome of the audit was an overall opinion of **Substantial Assurance**. One item raised during the audit was ensuring there is sufficient information for Members on risk management, it was agreed that an overview would be developed for inclusion in Member Induction that is being prepared for the May 2027 Council elections. This overview is attached as **Appendix C**.

## **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 and the overview of risk management for members (**Appendix C**)

**GARY FIELDING**

**Corporate Director – Resources**

County Hall, Northallerton

March 2026

**Author of report:** Chris Clark, Risk Manager

Tel 01609 534508

# Corporate Risk Register

# Appendix A

Risk Register: **Annual review (February 2026) – summary**

Next Review Due: **July 2026**

Report Date: **26<sup>th</sup> February 2026 (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	<b>CRR_19 Children's care market</b>	Insufficient provision for children and young people that results in inappropriate and high cost external settings and/or delivers poor value for money	Chief Exec	CD CYPs	VH	VH	25	Very High	H	VH	20	Very High	✓
▬	<b>CRR_15 Major Schemes and Contracts</b>	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	✓
↓	<b>CRR_16 SEND High Need Budget</b>	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 Ed & Incl	VH	H	20	Very High	VH	H	20	Very High	✓
▬	<b>CRR_17 Funding Challenges</b>	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	✓
▬	<b>CRR_2 Major Failure due to Quality and/or Economic Issues in the Care Markets and Workforce Pressures</b>	Major disruption in care markets results in being unable to meet the needs of people 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 Market, increased budgetary implications and issues of service user safety.	Chief Exec	CD HAS	H	H	16	High	H	H	16	High	✓
▬	<b>CRR_11 Housing Regulation Compliance</b>	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 with subsequent financial penalty, reputational damage to the council and loss of control of the service.	CD ComDev	ComDev AD Hou	H	H	16	High	M	H	12	Medium High	✓









## Corporate Risk Register

## Appendix A

Risk Register: **Annual review (February 2026) – summary**

Next Review Due: **July 2026**

Report Date: **26<sup>th</sup> February 2026 (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?
	<b>CRR_13 Transformation Portfolio</b>	Failure to deliver a coherent Council transformation portfolio which supports achievement of Council Plan ambitions, movement to the target operating model and savings requirements resulting in not delivering on MTF5 ambitions, missed opportunities to transform and improve service delivery for residents and lack of central oversight and coordination leading to poorer decision making	Chief Exec	CD RES	H	H	<b>16</b>	High	M	H	<b>12</b>	Medium High	
	<b>CRR_4 Information Governance and Cyber Security</b>	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 Fol requests, and inability to locate key data upon which the Council relies resulting in loss of reputation, poor decision making, fine, etc (including Brierley Group companies) Failure to put in place the appropriate cyber security arrangements could potentially lead to breach, loss of data, loss of systems, loss of reputation and inability to operate effectively and discharge our responsibilities	Chief Exec	CD RES	H	H	<b>16</b>	High	M	H	<b>12</b>	Medium High	
	<b>CRR_12 Climate Change</b>	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	M	<b>12</b>	Medium High	H	M	<b>12</b>	Medium High	
	<b>CRR_3 Recruitment, Retention and Resources</b>	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	<b>12</b>	Medium High	M	M	<b>9</b>	Medium	

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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?
	<b>CRR_8 Major Incidents</b>	Failure to plan, respond to and recover effectively from major 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	<b>8</b>	Medium	L	H	<b>8</b>	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.

# Corporate Risk Register

# Appendix A

Risk Register: Annual review (February 2026) – detailed

Next Review Due: July 2026

Report Date: 26<sup>th</sup> February 2026 (cpc)

Phase 1 - Identification								
<b>Ref.</b>	CRR_19	<b>Title</b>	Children's care market		<b>Risk Owner</b>	Chief Exec	<b>Risk Manager</b>	CD CYPS
<b>Risk Description</b>	Insufficient provision for children and young people that results in inappropriate and high cost external settings and/or delivers poor value for money				<b>Risk Group</b>	Financial	<b>Linked Risk(s)</b>	CYP_3; YCF_2
Phase 2 - Current Assessment								
Current Control Measures								
Best practice and scrutiny forum monitoring of external placements; Young people's accommodation strategy; Financial scrutiny and budget monitoring; enhanced CYPLT scrutiny; monitoring of permanency planning by the IRO service; maximise use of adoption and SGO; foster carer recruitment campaign; independent identification of foster carer training needs; commissioning strategy; F&F policy embedded; 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; Breakthrough Plan identifying areas of focus								
<b>Current Probability</b>	VH	<b>Current Impact</b>	VH	<b>Current Risk Score</b>	25	<b>Current Risk Category</b>	Very High	
Phase 3 - Risk Mitigation Plan								
<b>Reduction Action</b>					<b>Action Manager</b>	<b>Due Date and status</b>		<b>Date Completed</b>
RR_CRR_55	Carry out focussed review in order to frame how the service will monitor activity and reporting to CYPLT and the deep dives				CD CYPS	30-Apr-2026		
RR_CRR_56	Carry out quarterly deep dives with Chief Exec, CD RES, CD CYPS et al to ensure common understanding of service demand, financial pressures and resulting action plans (action by date is for 1st meeting, will then be ongoing)				CD CYPS	31-May-2026		
RR_CRR_57	Produce and consider invest to save opportunities that add quality and good value for money to meet placement needs				CD CYPS; CD RES	30-Jun-2026		
RR_CRR_58	Consider areas of priority alongside expectations relating to OFSTED, with a clear view and plan of the way forward to reduce the number of inappropriate provisions				CD CYPS	30-Jun-2026		
RR_CRR_60	Develop compliant routes to market for procurement of child places				CD CYPS	31-Dec-2026		
RR_CRR_61	Obtain commitment from cross directorate colleagues (housing, property, legal) to consider NYC approach to increase in-house provision				CD ComDev; CD CYPS	31-Jan-2027		
Phase 4 - Target Risk Assessment								
<b>Target Probability</b>	H	<b>Target Impact</b>	VH	<b>Target Risk Score</b>	20	<b>Target Risk Category</b>	Very High	
Phase 5 - Fallback Plan								
Fallback Plan								
Additional budget and joint discussions with partners regarding collective response								

# Corporate Risk Register

# Appendix A

Risk Register: Annual review (February 2026) – detailed

Next Review Due: July 2026







Report Date: 26<sup>th</sup> February 2026 (cpc)

Phase 1 - Identification									
Ref.	CRR_15	Title	Major Schemes and Contracts			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; EHT_5; ENV_8; ERG_15; ERG_17	
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	<b>25</b>	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 - ongoing				ComDev DMT	31-Oct-2026			
RR_CDE_27	Continue budget and progress monitoring of all Schemes including reporting and escalating through Corporate Boards - ongoing				ComDev DMT	31-Oct-2026			
RR_CDE_51	Work with YNYCA and other stakeholders on future capital regeneration related opportunities				ComDev AD PSG; RES AD (PF)	31-Oct-2026			
RR_CRR_50	Review corporate approach to the governance and delivery of key capital projects				CD RES	31-Mar-2027			
RR_CRR_59	Review arrangements to support effective contract management across the council				CD RES	30-Sep-2026			
RR_EHT_102	Develop on street EV charging strategy and technical solution; strategy and project boards in place, Charge Point Operator (CPO) partner appointed				ENV E&T HoS&E	31-May-2026			
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 HoNS	30-Jun-2026			
RR_EHT_108	Continue to monitor and manage risks around harbours, including implementation of the approved list of harbour infrastructure projects				ENV R&H HoH&CI	31-May-2026			
RR_EHT_131	Ongoing monitoring of Catterick Garrison construction contract; entry complete, works are ongoing				ENV H&I HoNS	31-Oct-2026			
RR_EHT_132	Ongoing monitoring of Jackson's Lane; developing a tender contract for a consultant to enable a Design and Build document to be created				ENV H&I HoNS	30-Apr-2026			

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Risk Register: **Annual review (February 2026) – detailed**  
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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-May-2026		
RR_EHT_21	Continue to ensure sufficient resources to effectively deliver schemes (ongoing)	ENV AD H&I	31-May-2026		
RR_EHT_23	Continue to work closely with APS (and where appropriate, WSP) to ensure that resources match the programme of transport scheme requirements (ongoing)	ENV AD H&I	31-May-2026		
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-May-2026		
RR_ERG_49	Implement this year's Environment Agency approved coastal programme (permission to apply for grant going for Exec approval)	ENV R&H HoH&CI	31-May-2026		
RR_ETR_41	Develop long term strategy for harbours (includes infrastructure and economic aspects); draft being consulted on internally, will then go for public consultation; internal is complete, external consultation will start Jan 26 incl TEE&E O&SC	ENV R&H HoH&CI	31-Mar-2026		
<b>Phase 4 - Target Risk Assessment</b>					
<b>Target Probability</b>	M	<b>Target Impact</b>	H	<b>Target Risk Score</b>	<b>12</b>
				<b>Target Risk Category</b>	Medium High
<b>Phase 5 - Fallback Plan</b>					
<b>Fallback Plan</b>					
Work with partners on collaborative approach to ensure risk is captured at an early stage and responsibilities are understood					

# Corporate Risk Register

# Appendix A

Risk Register: Annual review (February 2026) – detailed

Next Review Due: July 2026



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Phase 1 - Identification								
Ref.	CRR_16	Title	SEND High Need Budget		Risk Owner	CD CYPs	Risk Manager	CYPs AD Ed & 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; 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	H	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_CYP_10	Carry out review of sufficiency in services for provision of SEND including development of capital programme; work will continue on the efficiency aspects			CYPs AD Ed & Incl	30-Apr-2026			
RR_CYP_100	Continue to monitor the proposed changes to SEND in the expected 2026 White Paper and understand their impact; including advocating for a fair funding formula			CYPs AD Ed & Incl; RES AD (HE)	31-Mar-2027			
RR_CYP_11	Ensure that service dashboards reflect the criteria for each of the key inspection areas and are monitored on a regular basis			all CYPs ADs	30-Apr-2026			
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			all CYPs ADs; RES AD (HE)	31-Aug-2026			
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 Ed & Incl; CYPs Ed & Incl HoSEND	31-Aug-2026			
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 Ed & Incl	30-Apr-2026			
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 Ed & Incl	31-Aug-2026			
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 Ed & Incl	31-Aug-2026			
RR_CYP_8	Embed and review the targeted mainstream provision that replace the EMS model; seventeen in place, working on further provision			CYPs AD Ed & Incl	31-Aug-2027			

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RR_CYP_90	Deliver the High Needs and SEN Programme of transformation (eg. Digital EHCP, SEND Capital Programme, Inclusion Hub remodelling and better data management) savings to achieve financial sustainability			CYPS AD C&F; CYPS AD Ed & Incl	30-Apr-2026		
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 Ed & Incl	31-Aug-2026		
<b>Phase 4 - Target Risk Assessment</b>							
<b>Target Probability</b>	VH	<b>Target Impact</b>	H	<b>Target Risk Score</b>	<b>20</b>	<b>Target Risk Category</b>	Very High
<b>Phase 5 - Fallback Plan</b>							
<b>Fallback Plan</b>							
Redirection of resources from areas that have achieved savings							

# Corporate Risk Register

# Appendix A

Risk Register: **Annual review (February 2026) – detailed**

Next Review Due: **July 2026**


Report Date: **26<sup>th</sup> February 2026 (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 and disposal relating to capital, regeneration, and building maintenance backlogs				CD RES	31-Jan-2027		
RR_CRR_44	Constantly review budget and MTFs in year and as part of the annual exercise				CD RES	31-Jan-2027		
RR_CRR_46	Identify and advocate on funding with Combined Authority and other agencies				CD RES	31-Jan-2027		
RR_CRR_47	Carry out deep dives on areas of financial concern with primary focus on C&F, SEND and Adult Social Care				CD RES	31-Jan-2027		
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-Dec-2026		
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-Dec-2026		
RR_RES_17	Implement agreed actions in relation to Social Care Market pressures including care and support delivery hubs				RES AD (AH)	31-Dec-2026		
RR_RES_67	Implement the new integrated service planning approach which includes service savings opportunities, requests for transformation funding alongside service improvements				RES AD (ALL)	30-Sep-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-Dec-2026		

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RR_RES_71	Develop robust financial business cases for investments and invest to save opportunities (ongoing)			RES AD (ALL)	31-Dec-2026		
<b>Phase 4 - Target Risk Assessment</b>							
<b>Target Probability</b>	H	<b>Target Impact</b>	H	<b>Target Risk Score</b>	<b>16</b>	<b>Target Risk Category</b>	High
<b>Phase 5 - Fallback Plan</b>							
<b>Fallback Plan</b>							
Review deployment of Resources in light of present and emerging financial pressures							

# Corporate Risk Register

# Appendix A

Risk Register: **Annual review (February 2026) – detailed**

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Phase 1 - Identification									
Ref.	CRR_2	Title	<b>Major Failure due to Quality and/or Economic Issues in the Care Markets and Workforce Pressures</b>			Risk Owner	Chief Exec	Risk Manager	CD HAS
Risk Description	Major disruption in care markets results in being unable to meet the needs of people 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 Market, increased budgetary implications and issues of service user safety.				Risk Group	Legislative	Linked Risk(s)	HAS_2; HSC_3	
Phase 2 - Current Assessment									
Current Control Measures									
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									
Current Probability	H	Current Impact	H	Current Risk Score		<b>16</b>	Current Risk Category	High	
Phase 3 - Risk Mitigation Plan									
Reduction Action					Action Manager	Due Date and status		Date Completed	
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 (CW)	30-Jun-2026			
RR_HSC_11	Work at a system level (ICS) with partners to mitigate the impact of workplace shortages; ongoing and linking via ADASS Workforce groups which have a developed workforce plan that aligns with the Skills for Care Workforce Strategy and national/regional work to address the issues				HAS all ASC ADs ; HAS HoHR	31-Aug-2026			
RR_HSC_125	Understand the potential impact to workforce following changes to immigration rules for social care staff				HAS AD ASC (CW)	30-Apr-2026			
RR_HSC_13	Continue to seek opportunities to gain national support for workforce issues in the care system; including improved communication around licensing arrangements; position has improved but work is ongoing				CD HAS; HAS all ASC ADs	31-Aug-2026			
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; A specialist care commissioning project has been set up with good engagement from the market, testing of a range of new models of care including enablement, crisis services and specialist dementia and WAA provision are part of these plans.				HAS AD ASC (CW)	31-Aug-2026			
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; ongoing				HAS AD PSD (AB)	31-Aug-2026			

# Corporate Risk Register

# Appendix A

Risk Register: **Annual review (February 2026) – detailed**  
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RR_HSC_19	Continue to work with Veritau on audits of individual suppliers (rolling programme in place of focussed work in particular areas) - ongoing			HAS AD PSD (AB); HAS ASC HoSC	31-Aug-2026			
RR_HSC_24	Continue to work with market development board to monitor and manage interventions in the care market; key focus is on specialist commissioning as per RR_HSC_17 and on growing homecare in rural areas commencing a pilot in Whitby			HAS AD PSD (AB)	31-Aug-2026			
RR_HSC_9	Develop a business case for the development of county-wide care and support hubs to help alleviate care home affordability issue; approved by Exec Jan 25; individual business cases and planning for phase 1 of this work is underway incorporating two sites initially			HAS AD PSD (AB)	31-Jan-2025		07-Jan-2025	
<b>Phase 4 - Target Risk Assessment</b>								
<b>Target Probability</b>	H	<b>Target Impact</b>	H	<b>Target Risk Score</b>		<b>16</b>	<b>Target Risk Category</b>	High
<b>Phase 5 - Fallback Plan</b>								
<b>Fallback Plan</b>								
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.								

# Corporate Risk Register

# Appendix A

Risk Register: **Annual review (February 2026) – detailed**

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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 with subsequent financial penalty, reputational damage to the council and loss of control of the service.				Risk Group	Legislative	Linked Risk(s)	CDE_10; CHO_8
Phase 2 - Current Assessment								
Current Control Measures								
Improvement plan and strategy; new governance arrangements through housing improvement board; O&S committee; new structure for tenant engagement; new suite of performance indicators; ongoing customer satisfaction arrangements through TSMs; regular engagement with the social housing regulator; critical friend challenge from Savilles;								
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_CHO_22	Ensure we have full understanding of data quality and assurance, in order to meet legal and regulatory requirements; baseline known but further work to establish a sustainable view on data (date is next review)				ComDev AD Hou	31-Aug-2026		
RR_CHO_29	Ensure compliance with the 'big seven' H&S requirements – ongoing				ComDev AD Hou	31-Aug-2026		
RR_CHO_30	Ensure delivery of the stock condition survey programme				ComDev AD Hou	31-Aug-2026		
RR_CHO_31	Ensure there is sufficient resource to address the impact of the improvement plan work, including predicted increases in demand for responsive repairs, demand for responsive surveys in respect of damp and mould and increased complaints - ongoing				ComDev AD Hou	31-Jul-2026		
RR_CHO_32	Work to ensure we are compliant with the Rent Standard (currently being supported by Veritau)				ComDev AD Hou	31-Aug-2026		
RR_CRR_52	Complete the Housing Regulator improvement plan				ComDev AD Hou	31-Aug-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								
Respond as necessary to any incident, carry out lessons learned review								

# Corporate Risk Register

# Appendix A

Risk Register: Annual review (February 2026) – detailed

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Phase 1 - Identification								
Ref.	CRR_13	Title	Transformation Portfolio		Risk Owner	Chief Exec	Risk Manager	CD RES
Risk Description	Failure to deliver a coherent Council transformation portfolio which supports achievement of Council Plan ambitions, movement to the target operating model and savings requirements resulting in not delivering on MTFS ambitions, missed opportunities to transform and improve service delivery for residents and lack of central oversight and coordination leading to poorer decision making				Risk Group	Strategic	Linked Risk(s)	CSD_3; RES_4; RTR_2
Phase 2 - Current Assessment								
Current Control Measures								
Transformation programme (TP); service planning approach to identify areas of improvement convergence and transformation; review of areas of overspend and actions to mitigate; review (deep dives) into specific high-risk base budgets; delivery of cross cutting programmes to drive a one council approach; Transformation service new structures; broader council governance in development; performance monitoring through mgt board reports; transformation governance to be agreed; NYC2030 Shaping Tomorrow draft strategy;								
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 Will Work, Demand Management)				RES AD Transf	30-Nov-2026		
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 AD Transf	30-Nov-2026		
RR_CRR_41	Monitor delivery of savings proposals and other transformational actions and identify responses to issues as they arise (ongoing)				CD RES	30-Nov-2026		
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	30-Nov-2026		
RR_CRR_53	Ensure delivery of key enabling systems (eg new finance system)				CD RES	31-Mar-2027		
RR_CSD_19	Ensure an effective technology plan is in place to drive the required system convergence in support of transformation priorities (new programme being developed)				RES AD Tech	30-Nov-2026		
RR_RES_103	Agree prioritisation of key issues and also communication of those areas deemed non-priority				CD RES	30-Nov-2026		
RR_RES_80	Obtain Management Board agreement for the prioritised Transformation Portfolio and the additional capacity required to deliver on the priorities				RES AD Transf	30-Apr-2026		
RR_RTR_14	Further maintain and refine the Target Operating Model and ensure it remains the direction of travel for all services				All Mgt Board	30-Nov-2026		
RR_RTR_22	Complete the maturing and embedding of Transformation structures				RES AD Transf	30-Nov-2026		
Phase 4 - Target Risk Assessment								
Target Probability	M	Target Impact	H	Target Risk Score	12	Target Risk Category	Medium High	

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## 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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# Appendix A

Risk Register: **Annual review (February 2026) – detailed**

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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; RTE_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&amp;C; series of unannounced security compliance visits by internal audit Brierley Group companies' information governance procedures in place;</p> <p><b>FoI</b> – 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><b>SAR</b> - 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><b>Cyber Security</b> - 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	H	Current Impact	H	Current Risk Score	<b>16</b>	Current Risk Category	High		
Phase 3 - Risk Mitigation Plan									
Reduction Action					Action Manager	Due Date 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	30-Nov-2026				
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	30-Nov-2026				
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; new data management policy in place, work to do on IAOs and IAR			RES AD Tech	30-Nov-2026				
RR_RES_75	Monitor the delivery and effectiveness of the Information Management and Governance Strategy, and update if required			CD RES; Veritau	30-Nov-2026				
RR_RES_76	Ensure that mitigating actions are carried out as a result of lessons learned from data breaches			RES AD Tech	30-Nov-2026				
RR_RES_77	Deliver ongoing communications and training to raise awareness of Information Governance risks and council policies (ongoing); security awareness programme being developed			CD RES; Veritau	31-Jan-2027				

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RR_RES_8	Continue to review resourcing to ensure required delivery of Veritau service (ongoing)			CD RES	30-Nov-2026		
RR_RES_9	Continue a review of IG procedures and providing support to the Brierley Group of Companies;			CD RES; Veritau	30-Nov-2026		
RR_RES_90	Carry out no-notice cyber exercise to test robustness of disaster recovery and business continuity plans			CD RES	30-Nov-2026		
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	30-Nov-2026		
<b>Phase 4 - Target Risk Assessment</b>							
<b>Target Probability</b>	M	<b>Target Impact</b>	H	<b>Target Risk Score</b>	<b>12</b>	<b>Target Risk Category</b>	Medium High
<b>Phase 5 - Fallback Plan</b>							
<b>Fallback Plan</b>							
Review and revise Action Plan and new technology and continue to raise awareness.							

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Risk Register: **Annual review (February 2026) – detailed**

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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	M	Current Risk Score	<b>12</b>	Current Risk Category	Medium 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-May-2026			
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-May-2026			
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.			ENV AD E&T; RES CP&P HoPC&FM	31-May-2026			
RR_ECC_19	Monitor progress on the detailed motor related issues (eg. fleet decarbonisation plan and grey fleet reduction) and raise concerns where appropriate; Fleet are working with Cenex to look at fleet decarbonisation potential, with a report due in September 2025; Cenex report completed			ENV AD E&T	30-Jun-2026			
RR_ECC_31	Create a North Yorkshire Council Climate Adaptation Plan (alongside the Regional Climate Risk and Vulnerability Assessment) 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; YNYCA lead and work is progressing			ENV AD E&T	31-May-2026			
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-May-2026			
RR_ECC_33	Work to ensure that the Council's Local Plan and Local Transport Plan (now the responsibility of YNYCA) include appropriate responses to climate change; officers continue to be involved in the relevant service teams			ENV AD E&T	31-May-2026			









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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 (EfW) 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 - 2yr programme will report on options) in support of this (linked to RR_ECC_18); carbon capture at EfW site explored and deemed technically possible but not commercially viable	ENV AD E&T	31-May-2026		
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 (annual report received an 'A' in 25). Working with Strategy and Policy colleagues to incorporate climate change reporting into future Q reports; project to improve performance mgt around climate change, to better benchmark and track our progress; need Transformation and D&I support to progress	ENV AD E&T	31-May-2026		
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; plans have been created and are now in their delivery phases	ENV AD E&T	31-May-2026		
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; linked to RR_ECC_35 which will enable a better understanding of the scale	ENV AD E&T	31-May-2026		
RR_ECC_50	Continue to work and strengthen our relationship with YNYCA 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-May-2026		
RR_ECC_55	Continue the work around Supporting Nature to Thrive (3rd pillar of the CC strategy) (see Risk ECC_9)	ENV AD E&T	31-May-2026		
RR_ECC_56	Continue to apply for external funding to implement our prepared business cases which deliver the strategy	ENV AD E&T	31-May-2026		
RR_ENV_42	Agree and deliver an annual programme of flood risk management schemes	ENV AD H&I	31-May-2026		
<b>Phase 4 - Target Risk Assessment</b>					
<b>Target Probability</b>	H	<b>Target Impact</b>	M	<b>Target Risk Score</b>	<b>12</b>
				<b>Target Risk Category</b>	Medium High
<b>Phase 5 - Fallback Plan</b>					
<b>Fallback Plan</b>					
Review strategy and implementation methods					

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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><b>Recruitment:</b> 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><b>Retention:</b> 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><b>Resources:</b> 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	<b>12</b>	Current Risk Category	Medium High		
Phase 3 - Risk Mitigation Plan									
Reduction Action					Action Manager	Due Date and status		Date Completed	
RR_CRR_10	Strengthen the focus on recruitment to entry level posts alongside career pathways (apprentices and trainees where recruitment is more successful)				ACE HR&BS	30-Sep-2026			
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	30-Sep-2026			
RR_CRR_3	Ensure the organisation designs and provides good work and is a 'good employer' through its actions and practice, includes shared commitment, inclusivity and the use of innovative technologies to improve the employment experience; will need to review and strengthen in light of the Employment Rights Bill (ERB) implementation				ACE HR&BS	30-Sep-2026			
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	30-Sep-2026			
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; subject to ERB				ACE HR&BS	30-Sep-2026			
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	30-Sep-2026			
RR_CRR_48	Refocus approach to attendance management by embedding the refreshed policy and guidance, increasing support and training to managers, and monitoring and reporting on outcomes				ACE HR&BS	30-Sep-2026			
RR_CRR_49	Ensure that we embrace assistive technologies with appropriate digital skills, an understanding of the impact on job roles and the required ethical monitoring and safeguards				ACE HR&BS	30-Sep-2026			

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RR_CRR_5	Ensure work/life balance is available and attainable to all employees and enable all staff to access Health & Well Being services			ACE HR&BS	30-Sep-2026		
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	30-Sep-2026		
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; introducing new recruitment technologies in 2026			ACE HR&BS	30-Sep-2026		
RR_CRR_9	Develop manager's skills for effective and positive staff management including engagement and support in order to assist retention and successful recruitment (ongoing)			ACE HR&BS	30-Sep-2026		
<b>Phase 4 - Target Risk Assessment</b>							
<b>Target Probability</b>	M	<b>Target Impact</b>	M	<b>Target Risk Score</b>	<b>9</b>	<b>Target Risk Category</b>	Medium
<b>Phase 5 - Fallback Plan</b>							
<b>Fallback Plan</b>							
Review and revise resource allocation where possible and consider additional funding and capacity where required							

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# Appendix A





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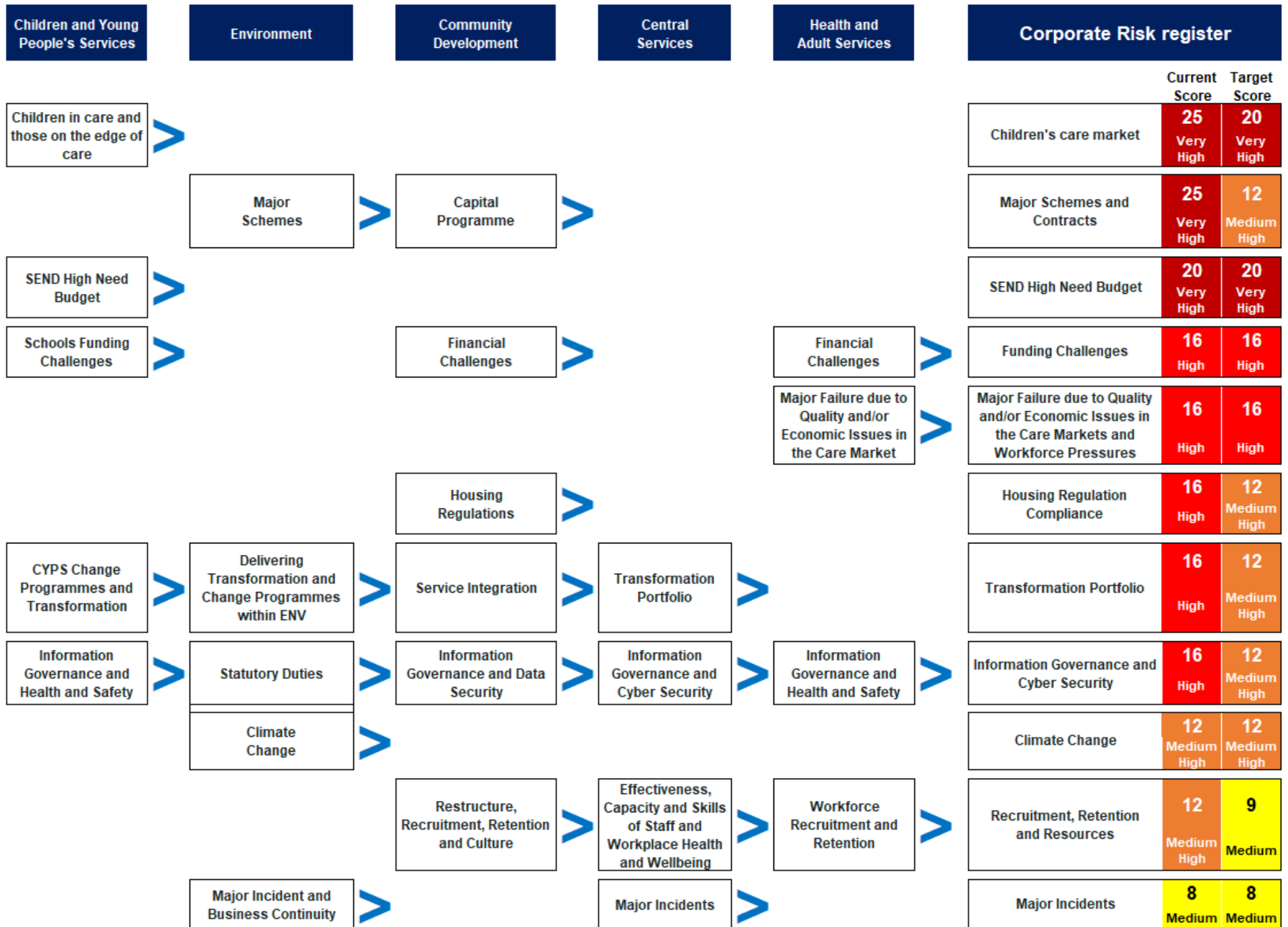
Phase 1 - Identification								
Ref.	CRR_8	Title	Major Incidents		Risk Owner	Chief Exec	Risk Manager	Chief Exec
Risk Description	Failure to plan, respond to and recover effectively from major incidents in the community resulting in risk to life and limb, impact on statutory responsibilities, impact 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	30-Sep-2026		
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	30-Sep-2026		
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	30-Sep-2026		
RR_LEN_38	Ensure that NYC risks consider the contents of the National Security Risk Assessment and Community Risk Register				ACE Loc Eng	30-Sep-2026		
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	30-Sep-2026		
RR_LEN_7	Continue to embed the recommendations from incident debriefs within practice through the Corp Emergency Planning Group				Loc Eng HoR&E	30-Sep-2026		
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								
Embedded practice based on Response to Major and Critical Incident protocols								

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Report Date: **26<sup>th</sup> February 2026 (cpc)**

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.



**Risk Management**

Risk management is a key part of the council’s corporate governance arrangements providing assurance to meet the requirements of the Accounts and Audit Regulations 2015; supporting the council’s Annual Governance Statement and ensuring the council understands and manages the risks it faces at strategic and operational levels.

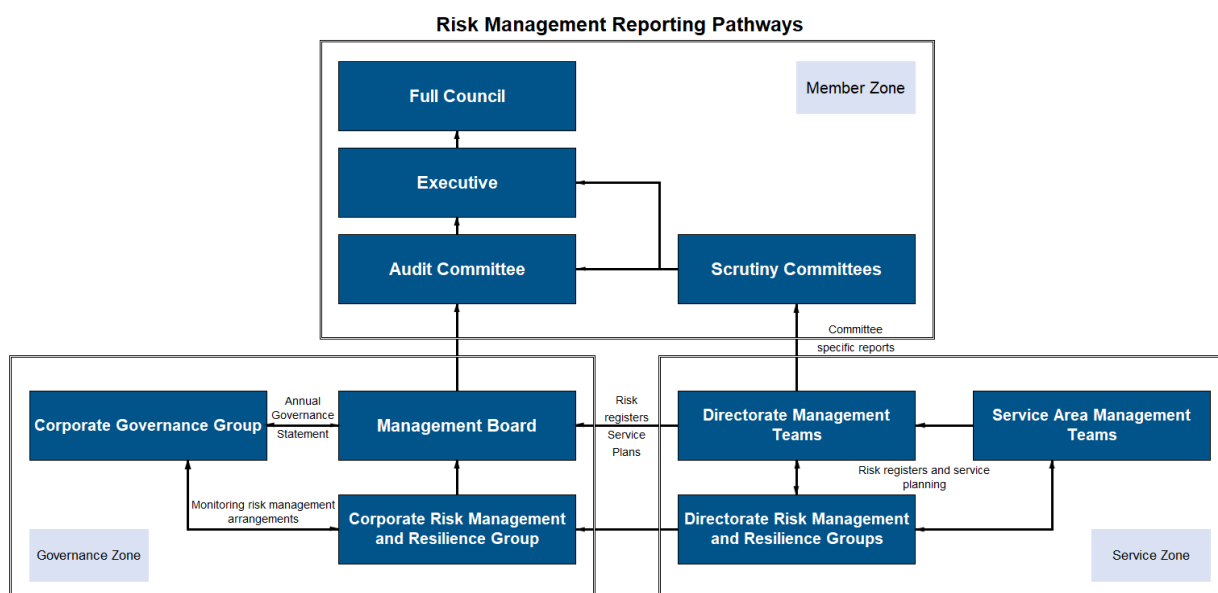
The risk management framework operated by the council includes:-

- Risk registers for all services, directorates and at corporate level
- Risk support to key projects and programmes
- The operation of directorate and corporate risk management and resilience groups attended by officers with risk related specialisms
- Identified risk management champions in each directorate

In practicing effective risk management across North Yorkshire Council, we expect to be able to deliver the following benefits:

- An increased ability to deliver against our objectives and take advantage of opportunities, and to enable innovation
- Better informed decision making
- Improved stakeholder trust and confidence
- Enhanced efficiency as less management time, and fewer council funds, are lost dealing with risk events
- Improved customer service
- Improved health and safety
- An ability to evidence robust corporate governance arrangements and our compliance with legal and regulatory requirements
- Being more flexible and responsive to new pressures, and to any changes in the market and community needs

The following shows how risk management is reported through the Council



Further details can be found in the Risk Management Policy here [NYC Risk Management Policy](#) or by contacting the Risk Manager, Chris Clark by email [chris.clark@northyorks.gov.uk](mailto:chris.clark@northyorks.gov.uk) or by telephone on 01609 534508 .