

**NORTH YORKSHIRE COUNTY COUNCIL
AUDIT COMMITTEE**

7 MARCH 2013

INTERNAL CONTROL MATTERS FOR THE CENTRAL SERVICES DIRECTORATE

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

1.0 PURPOSE OF THE REPORT

- 1.1 To note the position on the Central Services Directorate's **Statement of Assurance**.
- 1.2 To receive details of the new draft **Risk Register** for the Central Services Directorate.

2.0 BACKGROUND

- 2.1 The Audit Committee is required to assess the quality and effectiveness of the corporate governance arrangements operating within the County Council. During the current financial year, the Finance and Central Services Directorate and the Chief Executive's Group were brought together on the 1st October 2012 to form the Central Services Directorate. In relation to the new Central Services Directorate the Committee receives assurance through the work of internal audit (detailed in a separate report to the Committee), details of the combined Statement of Assurance provided by the Chief Executive and appropriate Corporate Director, together with the Directorate Risk Register.

3.0 STATEMENT OF ASSURANCE

- 3.1 Management Board, the Chief Executive and each Corporate Director produce a **Statement of Assurance** (SoA) at the end of each financial year. In this Statement the Chief Executive/Corporate Director identifies those items that may give rise to internal control or performance risk issues for the Directorate in the forthcoming year. These issues feed into the process that enables the Annual Governance Statement (AGS) to be prepared for the County Council as a whole.
- 3.2 The SoA for Central Services Directorate identified some areas for improvement to ensure that there is a sound system of internal controls within the Directorate. These areas for improvement and the latest position on the action proposed were reviewed at the last meeting of this Committee on 6 December 2012. As this information has been previously provided at the last meeting and the position will have changed little since, it is felt more effective to concentrate in this report on the draft Central Services Directorate risk register. However the relevant part of the latest SoA is available again as **Appendix A**.

4.0 DIRECTORATE RISK REGISTER

4.1 The **Directorate Risk Register** (DRR) is the end product of a systematic process that initially identifies risks at Service Unit level and then aggregates these via a sieving process to Directorate level. A similar process sieves Directorate level risks into the Corporate Risk Register.

4.2 The Risk Prioritisation System used to derive all Risk Registers across the County Council categorises risks as follows:

- Category 1 and 2 are high risk (RED)
- Category 3 and 4 are medium risk (AMBER)
- Category 5 is low risk (GREEN)

These categories are of course relative not absolute assessments - equally the Risk Register at Directorate level is designed to identify the dozen or so principal risks that may impact on the achievement of performance targets etc for the Directorate as a whole in the year – it is not a full Register of all the risks that are managed in the Directorate.

4.3 There are two reports available for risk registers. These are a detailed risk register and a summary risk register. A detailed risk register shows current controls at Phase 2 and the proposed actions to manage the risks at Phase 3, as well as the ranking of the risks both at the present time and in the future. The summary risk register provides a quick overview of the risks, their ranking and changes in ranking.

4.4 The draft detailed DRR shown at **Appendix B**. This is a distillation of the risks that were formerly identified in the Chief Executive’s Group and the Finance and Central Services Directorate. If all the risks had been retained the number would have amounted to 17. It has therefore been necessary to review the risks and either amalgamate some or remove them. Risks that have been removed from this Register still appear on another Directorate risk register. Examples are as follows:

Amalgamated risks:

- Staff challenges
 - Increased demands on service
 - Directorate budget savings
- } Change Management

Removed risks:

- County Council’s approach to Health and Safety –on the Strategic Resources Risk Register
- External communication and engagement –on the Corporate Risk Register
- Transformation of Library and Community Services –on the Strategic Resources Risk Register

The Register is in draft as it is still to be agreed at Central Services Management Team.

- 4.5 A summary of the draft DRR is also attached at **Appendix C**. As well as providing a quick overview of the risks and their ranking, it also provides details of the change or movement in the ranking of the risk since the last review in the left hand column. Please note the key at the bottom of the summary provides an explanation of the change advised.
- 4.6 The next full review of the DRR is scheduled for June/July 2013, with the 6 month review (lighter touch) taking place in December/January 2014.

5.0 RECOMMENDATION

5.1 That the Committee:

- (i) note the position on the Central Services Directorate Statement of Assurance;
- (ii) note the new draft risk register for the Central Services Directorate; and
- (iii) provide feedback and comments on the Central Services Directorate Risk Register.

GARY FIELDING
Corporate Director – Strategic Resources
7 March 2013

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**AREAS FOR IMPROVEMENT IDENTIFIED
MANAGEMENT BOARD**

Areas for improvement		Action proposed	Latest Position
A	Deliver savings through the One Council Change Programme	Implement the Programme with clear timescales and achievable savings identified throughout the year.	Programme has been drawn up and started with some initial savings achieved – some gaps in delivering full savings exist. Overall programme is on budget.
B	The changing Health Agenda is complex. The new systems must not adversely impact on the health and wellbeing of citizens of the County	As the largest Local Authority in the area now assuming a key role in relation to Health and Public Health Services the County Council must provide strategic leadership on this agenda ensuring the new structures work effectively and raising concerns when they do not with partners.	Health restructuring is moving forward and we engage with partners to develop the best overall approach to developing an effective health and social care system, but structures are complex, budgets greatly under pressure and risks remain.
C	Leadership role in relation to Economic Development issues	Ensuring that the County Council supports businesses and individuals through the difficult current economic situation.	The economic position remains difficult and the council continues to work to help the situation where it can.

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Areas for improvement	Action proposed	Latest position
<p>A Delivering the One Council Change Programme resulting in financial savings and a more fit for purpose organisational approach to meet service demands in the future.</p>	<p>The One Council Change Programme has been approved by the Council. It is charged with moving to more joined up ways of working across the Council as well as delivering £7.6m of recurring savings. The emphasis is now on delivering the Programme following a period of intensive development of workstreams and cross cutting issues.</p> <p>(a) Implementation commences on the workstreams (as already identified).</p> <p>(b) Review of governance and programme arrangements to deliver optimal approach at workstream, programme and Member level.</p> <p>(c) Refreshed and comprehensive Communication Plan to set out how staff, Members and customers will be involved.</p> <p>(d) Review of the One Council Vision and Strategy to produce a more detailed operating manual for the Council that sets out <u>how</u> the Council will operate in order to deliver the Council Plan.</p> <p>(e) On-going assessment of the Programme including Management Board, Workstream Boards, Overview and Scrutiny Committee, Audit Committee and the Executive.</p> <p>(f) Changes to policies and procedures to reinforce the One Council way of working</p>	<p>The Programme moved from a 'development' to 'implementation' phase in May 2012.</p> <p>Programme governance arrangements have been reviewed and agreed by Programme Board to facilitate the implementation phase.</p> <p>Monthly workstream and programme level highlight reports are now in place, which are used by Workstream Boards and Programme Board, to help inform management decision making and to performance manage workstreams and the overall programme. Arrangements are also in place to report progress to Management Board and Members; this includes the Executive and Overview and Scrutiny. A specific One Council Members Task Group has been established and the scope and remit of this group has been agreed.</p> <p>External review has been used to challenge and test overall programme design and approach to implementation. This has been supported through external and internal audit processes. An assurance mapping exercise is currently being undertaken by internal audit.</p> <p>The Programme Office has established a Communications and Stakeholder Management Plan; this has been approved and its</p>

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Areas for improvement	Action proposed	Latest position
	<p>including:-</p> <ul style="list-style-type: none"> • Performance management framework • Behaviour and skills framework for staff • Staff development programmes <p>(g) Improving the ways of working to deliver greater customer satisfaction. This will include a revised Customer Strategy led by the Customer Access workstream.</p>	<p>implementation is overseen by Programme Board. This includes a variety of communication channels relating to staff and customer (internal and external) engagement.</p> <p>The Strategic Core workstream has drafted proposals relating to strategies, policies and procedures; this will be considered by Programme Board and Management Board in November 2012 before implementation. The Behaviour and Skills Framework has been reviewed, amended and published. The Staff Development Programme is currently being reviewed.</p> <p>A customer access vision and principles have been developed and agreed; which are being used to guide the design and delivery of the revised front and back office operating model.</p>
<p>B Improve internal communications and staff engagement in order to:</p> <ul style="list-style-type: none"> • inform, explain, discuss and embed the One Council vision, approach and ways of working • improve staff morale • access staff ideas for improvement and change 	<p>Staff communication has focused on improving the intranet to encourage staff to use it for information on all important issues. There is a staff area which holds articles celebrating staff achievements, sharing examples of good practice and has regular updates on One Council matters including audio interviews with CEX detailing progress and how it is being applied 'on the ground'.</p>	<p>Staff communication has been focused around the intranet, which is supported by signposting staff and managers to important information, via email, messages and alerts. Staff news on events and social news continues to be provided via the intranet. Specific developments have involved;</p> <p>(a) A specific area of the intranet has been dedicated to One Council. This incorporates</p>

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	<p>Further developments will focus on;</p> <p>(a) the crucial role of middle managers for effective communication with the wider workforce. There will be further engagement through structured briefings, open management forums and improved cascade arrangements. These will be used to embed the new approach as detailed in the revised Behaviour and Skills framework and other key documents and developments</p> <p>(b) to support the CEX's fortnightly One Council message there will be regular video clips from Workstreams updating on progress, Q & As and updates on the One Council intranet site</p> <p>(c) staff without access to the intranet to receive a monthly Your Council newsletter covering essential staff information encouraging use of the intranet through live links and direct access from mobile phones</p> <p>(d) a short staff survey to measure engagement, analysis of intranet statistics to measure staff responses and the development of employee panels to test and engage new approach, systems and processes</p>	<p>updates on progress and developments, as well as providing case study examples and details of how staff can get involved and get more information supported by regular updates from the Chief Executive.</p> <p>(b) Additional videos have been produced from the One Council workstream sponsors to explain developments and what they are aiming to achieve.</p> <p>(c) To support staff without access to the intranet, the monthly newsletter, Your Council news, is provided to staff, summarising One Council updates and other important staff messages.</p> <p>(d) A monthly email alert to managers, highlighting key issues for managers attention is distributed to the top 800 managers from the Chief Executive.</p> <p>(e) Work is now underway on a new intranet (as a result of the upgrade to Microsoft across the council). The requirements for this new intranet are being set out following feedback from staff, with further focus groups planned prior to a final specification for the new intranet (which is planned for Spring/Summer 2013). Statistics on the current intranet usage, along with input from HR and Communications on requirements will also be</p>

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	Areas for improvement	Action proposed	Latest position
			incorporated.
C	<p>Reviewing the Corporate Performance Management Framework in order to -</p> <ul style="list-style-type: none"> • underpin the One Council values and principles • embed a culture of individual / team ownership of performance • identify areas for improvement, and • refresh reporting arrangements across the Council and with Members • reflect the existing national reporting requirements 	<p>Changes have already been made to performance management arrangements as a result of changes from government and a wish to ensure that arrangements are appropriate. Further work has already been done to set out how performance issues are addressed at team level so the next stage is to implement an embed across the Council</p> <p>(a) production and approval of an updated Council Performance Management Framework</p> <p>(b) capturing of performance activity at team level across the Council which is aimed and understood by teams and is then used to guide continuous improvement</p> <p>(c) further revision of service performance planning arrangements alongside Council Plan and team based performance arrangements</p> <p>(d) review of quarterly performance monitoring reports and the introduction of revised arrangements following discussion with Members of Management Board</p>	<p>The corporate performance management framework has been redrafted and amongst other changes now includes the recently introduced team performance framework. This latter framework is designed to capture performance information at the team level.</p> <p>However this framework is still new and therefore an internal peer review of the introduction of these will be carried out by the end of the calendar year. The aim is to test the effectiveness of these and to learn if any improvements need to be made.</p>

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<p>D Co-ordination and prioritisation of staff training and development to improve access to services, deliver them more efficiently and reduce spend</p>	<p>The One Council workstream on HR/Workforce Development has concluded its work to bring all development, training and learning resources together for implementation starting in July 2012 to deliver savings of some £0.5 million without adversely affecting capacity, volume or spend on staff training. Further developments include -</p> <ul style="list-style-type: none"> (a) roll out of online learning for all mandatory training (b) training and development for managers covering all key development areas online platform learning resources, webinars with some face to face learning sets (c) introduction of standard and consistent offer and access to training and development for all staff to meet defined needs 	<p>The new structures for training and workforce development were implemented in July 2012 for Phase 1. This brings together all of training admin and all training delivery alongside small and more focused workforce development post(s) in directorates as part of the HR function which determines the Directorate's staff development and training needs. Savings of £0.25m have been achieved to date and the same again will be achieved in 13/14.</p> <p>Online learning is now in place for the majority of mandatory training with the remaining elements scheduled for implementation by the end of the year. The online development programme for managers has been piloted and will be evaluated and consideration of full roll out in 13/14.</p> <p>The work is ongoing to develop a fully costed training and development plan for the whole organisation providing details for each directorate workforce by February 13 for implementation in 13/14. The plan would be revise annually thereafter.</p>
<p>E Continue to further expand range and pace of self service developments for staff and managers in order to:</p>	<p>Online expenses, timesheets, payslips and P60 are now embedded covering most County Council staff. The new e-leave system covers all leave including sick leave, maternity and annual leave. E-appraisal and e-CRB which</p>	<p>The new e.Leave system was fully implemented in April 12. e.CRB was rolled out in April 12 and has reduced clearance time from an average 6 – 8 weeks to 5 – 7 days</p>

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<ul style="list-style-type: none"> • reduce bureaucracy and realise savings in time and consumables • improve processes and reduce process delays and minimise errors • improve information security 	<p>completes full e-recruitment is underway. The intranet as the portal for self service has been reviewed and the “look and feel” as well as content improved.</p> <p>Further developments focus on:</p> <p>(a) EDRMS rollout for all staff files. Currently schools files (some 18000), CEG, FCS and BES now electronic and dates planned for the remaining directorates for full completion by Dec 12</p> <p>(b) the automation of processes within MyView linked to EDRMS progressing with the vast majority of staffing processes automated by the end of the year</p> <p>(c) further intranet developments to improve the flow of content for staff and managers to better link to automated staffing processes. The new approach to follow the life cycle of an employee</p>	<p>The rollout of e staff files is ahead of schedule to complete the last Directorate, HAS, by the end of November.</p> <p>The automation of staffing processes is on track to be delivered by the end of Dec 12.</p> <p>The new intranet design formatted follow the life cycle of an employee to improve access to processes and information is due to go live 05th November.</p>
<p>F Further developing and expanding external communication in order to;</p> <ul style="list-style-type: none"> • better engage customers and communities in service changes requiring consultation • improve County Council’s 	<p>Activity in external communications has focused on a new enewsletter “NY Now” and the development of a pilot with Johnston Press. This pilot includes County Council information in six local newspapers with one page per month and flexibility on the amount of space and the option to increase or reduce content depending on the requirement for resident information in those areas at that time. Further</p>	<p>External communications has continued to focus around the use of technology, along with media relations activity. The council continues to provide information to residents and communities on its services, on access to them and on proposals for any changes, in a number of different ways. The council continues to:</p>

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<p>reputation</p> <ul style="list-style-type: none"> communication on County Council services and how to access these 	<p>work includes:</p> <p>(a) monitoring and evaluation of this pilot by end of June and consideration of continuation</p> <p>(b) increase subscriptions to NY Now through various initiatives and promotion</p> <p>(c) expanded use of specific and targeted communication to stakeholder groups/organsations eg parish councils, GPs</p> <p>(d) examine the use of social media to engage with specific audiences online</p>	<p>(a) produce a monthly e-newsletter, NYNow, with subscriptions of approximately 4,000.</p> <p>(b) run a pilot partnership with six local newspapers for one page a month covering council issues.</p> <p>(c) produce a bi-monthly health newsletter, supporting the Health and Wellbeing board.</p> <p>(d) increase the use of social media as a channel of communication and information, with an increase in the number of people it is reaching, through a variety of different channels.</p> <p>(e) use its website as an important source of information and updates for residents.</p>
<p>G Medium Term Financial Strategy</p> <ul style="list-style-type: none"> need to validate funding assumptions and achieve targeted savings through the 3-year period 2012/15 	<p>In addition to funding uncertainties, the MTFS for the period 2012/15 reflects the need for substantial savings in order to “balance the books”.</p> <p>There is an approved and detailed savings matrix for 3-year period; the matrix includes savings from the One Council change programme.</p> <p>Achievement of the savings is monitored by Management Board on a regular basis and reported to the Executive as part of the</p>	<p>There has been significant proposed changes to Local Government Funding for next year and beyond. Whilst the Local Government Finance Settlement is not expected till mid to late December, assumptions have been made and a revised MTFS is in place. This includes revised budget assumptions and a significant increase in savings requirement for the next two years.</p> <p>Further savings proposals are being worked on and consulted with the Cabinet and wider Members. A series of Member’s Seminars are in place and Overview and Scrutiny Committees are</p>

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	<p>Quarterly Performance Monitoring report.</p> <p>All the key assumptions used in the current MTFs are monitored on an ongoing basis. Any material variations will be reported to the Executive so that appropriate action can be taken as considered necessary.</p>	<p>expected to be engaged.</p> <p>The savings programme as agreed by the County Council as part of the MTFs is currently being delivered and the savings are ahead of schedule. This includes £0.7m of One Council savings which have been delivered a year in advance. Regular information is provided as part of the Q Revenue Budget Monitoring Report.</p> <p>Budget Review Group is in place and is made up of the Chief Executive, Corporate Director, Strategic Resources and the Assistant Chief Executive Business Support. The Group monitors progressed against the savings requirement and reviews each Directorate periodically. In addition, Management Board hold regular discussions including review of Revenue Budget Monitoring information as provided to the Executive and others.</p>
<p>H Pension Fund</p> <ul style="list-style-type: none"> • improve solvency • monitor possible scenarios post 2014/15 	<p>The need for the Pension Fund to recover solvency is well understood by the Pension Fund Committee. The Investment Strategy, consequential asset allocation and individual fund managers, continue to be monitored by the Committee for their appropriateness and performance. The Investment Strategy was reviewed during 2011/12; as a result, changes will be made (in 2012/13) to both asset allocation and the fund manager roster to reduce volatility without (hopefully) impeding</p>	<p>Investment opportunities are reviewed on an ongoing basis. Two areas are currently being pursued –</p> <ul style="list-style-type: none"> • Work is in hand in order to invest in a Diversify Growth Fund (DGF) – these are funds which invest in a broad range of asset classes and they target equity like performance but with reduced volatility. Further investment is also being made into property where good investment

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	performance returns.	<p>opportunities are identified.</p> <ul style="list-style-type: none"> • Reductions are being made in equities portfolio and this is being used as an opportunity to reduce allocations to specific fund managers.
<p>I</p> <p>Information Governance</p> <ul style="list-style-type: none"> • need to maintain roll-out of the Information Governance Framework Action Plan 	<p>The Corporate Information Governance Group (CIGG2) has developed a comprehensive set of policies within a single coherent Framework.</p> <p>The related Action Plan focuses on roll-out issues (eg training of staff) that need to be progressed. CIGG2 meets regularly to monitor progress.</p> <p>A rigorous IT based process for tracking and reporting the investigation of breaches has been designed. It will be implemented in 2012/13.</p>	<p>The Corporate Information Governance Group (CIGG2) continues to approve new policies in relation to information governance, such as the Security Classification Policy. The Group also monitors the need for updates to existing policies.</p> <p>The related Action Plan has recently been overhauled to align with the Information Maturity Model Level 1 so that it is possible to identify any gaps in compliance. However it continues to provide focus on the practical issues such as risk awareness training, recording of information breaches, information security, information transparency and the security classification of documents. CIGG2 continues to meet regularly to monitor progress.</p> <p>Lagan, the County Council's case management system used by the Customer Service Centre, has been developed to put in place an electronic process for tracking and reporting the investigation of information breaches. It is currently being populated with open cases, and will go live in each Directorate as soon as the training of appropriate people has been carried out.</p>

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<p>J</p> <p>ICT Strategy</p> <ul style="list-style-type: none"> • a revised Corporate ICT Strategy needs to be in place that reflects the IT priorities of the County Council but is reconciled to the level of resources that will be available in the future • within that Strategy the key items to address are <ul style="list-style-type: none"> → migration from Novell to Microsoft → service continuity / disaster recovery → control weaknesses within service based IT applications and the proliferation of applications generally 	<p>A revised and funded ICT Strategy (and resourced Action Plan) will be presented to the Management Board by September 2012. The Strategy must address key issues as well as be compatible with the requirements of the One Council change programme.</p> <p>The Microsoft roll-out plan is on schedule but will need to be monitored to avoid delays having consequential knock-on implications for dependent plans (eg IT aspects of One Council proposals).</p> <p>An off-site facility for service continuity / disaster recovery is in place via NYnet. During 2012/13 the priority status of applications needs to be established.</p> <p>Proposals to standardise control procedures, review applications, etc, will be developed / implemented in 2012/13.</p>	<p>The draft ICT Strategy is being reviewed to ensure that it meets the requirements of the One Council change programme and service area needs. The resourced action plan to maintain the current ICT infrastructure is also being reviewed to ensure it can deliver within the available budget.</p> <p>Microsoft roll-out is on schedule with over 40% of the estate has been migrated, the plan is closely monitored to ensure delays are minimised to reduce the impact on other work programmes.</p> <p>Work to finalise the priority status for the recovery of applications will be completed by the end of 2012.</p> <p>A process for all new application requests is in place that will ensure where possible current applications or systems will be used where possible, this process will also be used during an application review to further reduce the number of systems maintained across the authority.</p>
<p>K</p> <p>Connecting North Yorkshire</p> <ul style="list-style-type: none"> • need to progress BDUK procurement and secure commensurate grant funding 	<p>The Procurement is on schedule to be completed by June 2012 so that funding streams can be maximised.</p> <p>Need to develop key partner links (eg LEP)</p>	<p>For marketing /comms purposes the project has been rebranded as Superfast North Yorkshire (SFNY).</p> <p>The procurement process together with associated legal and BDUK/ERDF grant approval</p>

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Areas for improvement	Action proposed	Latest position
<ul style="list-style-type: none"> also need to progress “not-spot” programme along with the BDUK project 	<p>to support delivery of grant funded outcomes (eg ERDF).</p> <p>In addition to the procurement, the not-spot programme needs to be maintained.</p> <p>Also need to ensure that the viability of the NYnet PSN is not compromised by the outcome of the BDUK procurement.</p>	<p>requirements are all concluded. In fact SFNY is the only BDUK project that is fully “go”.</p> <p>A joint NYnet/BT team is being created at the NYnet offices to manage the planning and implementation phases of the rollout. The physical roll out will begin in earnest in Spring 2013 with completion by end of 2014. By the end of the process 90%+ of the premises in North Yorkshire will have access to high speed broadband (>25Mbs);the remaining 10% will receive a minimum of 2Mbs.</p> <p>Work to improve the position in the 10% areas will continue. Members will be aware that NYnet has, on behalf of NYCC, already implemented a number of community schemes using wireless technology-this technology offers a practical and cost effective solution in those rural areas where it is not cost effective (and/or the grant funding is insufficient) for BT to upgrade their network. Once the detail of the BT network roll out is known community based schemes will be developed in the 10% areas – NYnet is already in discussion with communities in those areas where common sense suggests a wireless solution will be required.</p>

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		<p>The procurement process to secure a Business Support Partner (BSP) will be concluded by the date of this meeting. A Steering Group will also be in place by the end of November. The BSP process is essential if the full ERDF grant is to be drawn down.</p> <p>Allied to the BSP process the NYCC Executive agreed, on 6/11/12, to contribute, alongside BT, to a Demand Stimulation package that will promote take up and use of the enhanced broadband network in the wider community.</p> <p>Finally the NYnet Board has taken the opportunity, provided by the SFNY investment in the overall broadband network, to consider redeveloping its Public Sector Network (PSN) –there is the potential to achieve significant cost savings that can be reflected in reduced prices to public sector customers. The new PSN will be operational in April 2014</p>
<p>L One Council</p> <ul style="list-style-type: none"> • F&CS is the lead on 4 workstreams as well as being impacted by proposals in all the other workstreams 	<p>F&CS is leading on the following workstreams</p> <ul style="list-style-type: none"> • Property • IT • Procurement • Financial administration <p>Action Plans are in place where the aggregate</p>	<p>See earlier section on One Council (A) which has a more comprehensive overview.</p> <p>Property – a fundamental review is being carried out to determine opportunities for co-location of council services. In addition, practical opportunities are being grasped to make savings.</p>

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	<p>savings target is £3.75m. Within these Plans there are proactive items (that can be progressed as soon as possible within F&CS) and reactive items (ie created by other workstreams). Work on these workstreams will have to be resourced alongside “business as usual” tasks.</p>	<p>IT – the number of systems that the County Council now operates has reduced from 1576 to 435. This helps to consolidate systems and also helps in terms of information security. Further work is on-going to ensure delivery of the savings requirement.</p> <p>Procurement – YPO have now been appointed as procurement specialists replacing NPG. This fits with the new approach to procurement and is the most significant factor in achieving a saving of £200k (full year effect) on the procurement budget. The main savings are expected to arise from procurement exercises themselves. Including the amount above, savings of £2.7m have already been achieved towards the savings target.</p> <p>Financial Management (not administration) – a risk based approach is being taken to financial support for budget managers. This has resulted in some opportunities for savings and further work is in train.</p>
<p>M Service Continuity Planning</p> <ul style="list-style-type: none"> • a Corporate Policy/Strategy needs to be in place supported by the development, and testing, of a comprehensive suite of service based 	<p>The Civil Contingency Act 2004 places a requirement on the County Council to have in place a set of internal SCP arrangements.</p> <p>Following a review of progress to date, a revised approach has been approved by Management Board. This will need to be fully rolled out in</p>	<p>Roll out of the revised approach is underway, with BES and CSD nearing completion. The Emergency Planning Unit is carrying out an ongoing analysis to identify individual and corporate resources required to support a high impact event.</p>

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Continuity Plans	2012/13. In particular, the “generic corporate responses” required by Services (eg ICT recovery) will need to be identified and mitigating actions taken.	The aim remains to complete roll out by March 2013. Each corporate director will be required to assert, in their annual ‘Statement of Assurance’, that a full set of service continuity plans are in existence and up-to-date for their directorate.

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Areas for improvement	Action proposed	Latest position
<p>A Economic Development Provide support to the YNYERLEP through</p> <ul style="list-style-type: none"> • acting as Accountable Body • providing the professional / technical input to facilitate appropriate use of funding / strategic way forward <p>Ensure compliance with funder requirements on conditions relating to specific funding allocations.</p>	<p>(a) Review the proposals to the LEP ensuring compliance with NYCC requirements, and monitor ongoing arrangements</p> <p>(b) Continue to facilitate, advise and deliver the actions agreed at the LEP Board</p> <p>(c) Monitor progress against targets and retain appropriate records to ensure funding is achieved.</p>	<p>a) Governance arrangements in place – Internal Audit currently checking compliance, as part of regular audit.</p> <p>b) Additional support provided to manage the LEP Board activities.</p> <p>c) Regular reporting taking place, no funds distributed as yet.</p>
<p>B Infrastructure Developments Improve the coordination of the infrastructure development of the County relative to the Local Development Frameworks with our partners as relevant</p>	<p>(a) Progress the work of the Infrastructure Delivery Steering Group within the County Council and working with District Council partners</p> <p>(b) Continue to progress capital projects to maintain / enhance the County's highways infrastructure</p>	<p>a) Improved liaison taking place with District and Borough Councils. County lead established for each strategic development.</p> <p>b) Work on major projects progressing.</p>
<p>C Waste management procurement and performance Continue to deliver the Waste</p>	<p>(a) Regular review of funding and Unitary Charge protocol to ensure project is value for money and affordable</p>	<p>a) Monitored on a quarterly basis for value for money/affordability.</p>

AREAS FOR IMPROVEMENT IDENTIFIED
BUSINESS & ENVIRONMENTAL SERVICES DIRECTORATE

Areas for improvement	Action proposed	Latest position
<p>Strategy for the County including</p> <ul style="list-style-type: none"> • progressing the Waste PFI procurement to financial close • leading the YNY Waste Partnership in delivering updated Strategy for minimisation, reuse, recycling and disposal 	<p>(b) Continue to identify opportunities to improve recycling performance and improved efficiencies in collection and disposal methods</p> <p>(c) Continue to progress the development of infrastructure outside the PFI project</p> <p>(d) Continue to work with Yorwaste to develop and deliver a strategy for effective management of waste disposal across North Yorkshire</p>	<p>b) Continue to work with waste partnership to develop innovative opportunities.</p> <p>c) Two further Transfer Station sites are progressing to development.</p> <p>d) Discussions ongoing between officers and Yorwaste board. The idea of district involvement floated with some districts.</p>
<p>D MTFS Savings Continue to deliver savings projected in MTFS and identify new savings (including those required as part of One Council)</p>	<p>(a) Delivery of savings programme over the next 3 years</p> <p>(b) Regularly monitor savings achieved compared to projections</p> <p>(c) Identify any further savings that are deliverable through the quarterly finance reports, both customer facing and One Council</p>	<p>a) On target, prior to latest changes.</p> <p>b) Monitored quarterly and on target.</p> <p>c) Working to develop further savings in light of increased savings targets.</p>
<p>E Cultural Change – One Council Continue to embed new ways of working in line with revised Behaviour and Skills framework and practically through actions undertaken</p>	<p>(a) Continue to positively cascade the One Council message, providing clarity as needed</p> <p>(b) Encourage identification and implementation of internal efficiency savings by simplifying, sharing and standardising business processes</p>	<p>a) Cascaded through BES key messages and AD Management teams.</p> <p>b) BES continues to do this through its own Transformation Plan, that fully aligns to the ‘One Council’ principles.</p>

AREAS FOR IMPROVEMENT IDENTIFIED
BUSINESS & ENVIRONMENTAL SERVICES DIRECTORATE

Areas for improvement	Action proposed	Latest position
<p>F Contract Management Improvements are sought in managing elements of the contracts with Jacobs UK and a smooth transition to the newly appointed highways maintenance contractor Ringway</p>	<p>(a) Implementation of contract management arrangements with Ringway in accordance with the contract</p> <p>(b) Post implementation review to be undertaken of the mobilisation and stabilisation phase of the highway maintenance contract.</p> <p>(c) Continue to discuss potential improvements and efficiencies with Jacobs UK</p>	<p>a) There have been significant changes as a result of the change of contractor and implementation of the key associated system at the same time. Whilst there have been issues, progress is being made to ensure changes are beneficial and effective.</p> <p>b) Progress on the actions in the Mobilisation and Stabilisation Plan has been reviewed and any outstanding issues have been assimilated into the actions plans associated with the new contract governance structure. A mobilisation phase lessons learned exercise has also been completed and a report produced for future reference</p> <p>c) The replacement contract is being utilised to obtain the best value and most efficiencies. Regular monitoring is taking place to ensure savings / efficiencies delivered.</p>
<p>G Improved use of Community Transport Work closely with the Community Transport Sector to improve the overall level of public transport service provided across North Yorkshire</p>	<p>(a) Review the options available for improved use of Community Transport across the County</p> <p>(b) Implement an updated Strategy for improved use of Community Transport across the County</p>	<p>a) Review currently in progress, short to medium term transitional arrangements have been put in place.</p> <p>b) To be implemented once finalised during 2013.</p>
<p>H Performance across BES</p>	<p>(a) Implement the Corporate Performance</p>	<p>a) Latest arrangements re key performance</p>

AREAS FOR IMPROVEMENT IDENTIFIED
BUSINESS & ENVIRONMENTAL SERVICES DIRECTORATE

Areas for improvement	Action proposed	Latest position
Using the revised Corporate Performance Management framework to manage performance in BES in the changing economic and financial environment	<p>Management framework across BES</p> <p>(b) Develop a Directorate wide approach that ensures delivery / prioritisation in this economic climate</p>	<p>questions have been implemented, awaiting peer review to be undertaken.</p> <p>b) On-going in light of changing corporate performance framework.</p>

**AREAS FOR IMPROVEMENT IDENTIFIED
CHILDREN & YOUNG PEOPLE'S SERVICES DIRECTORATE**

Areas for improvement	Action proposed	Latest position
<p>A Maintaining and improving performance while reducing budget by over £23m in the 5-year period 2010/15</p>	<p>The Directorate's approach to achieving the challenging savings demanded of it has involved a radical review of all parts of the service.</p> <p>The objective has been to protect front-line services as much as possible to enable a reorganised Directorate to operate effectively across its universal, preventative, targeted and acute service responsibilities, in line with legislation.</p> <p>The savings programme has affected every part of the service, although the impact has been particularly heavy on management and administration with over £11.5m found from these areas.</p> <p>While there is now a very low risk of the savings target not being met (nearly £19m or 81% being made by March 2012), the Directorate will seek to ensure that the impact of the cuts is not felt on the frontline. At the same time, externally-driven pressures on the County Council and on partners, such as the NHS, will be monitored. There are risk that the Directorate's work will be compromised by these demands at a time when</p>	<p>Savings are ahead of target and it is expected that around a further £400k will be accelerated from future years.</p> <p>To date there has been no knock-on effect from the Academies programme. Indeed the Council will benefit from a repayment of grant from DCLG. This benefit is likely to be recurring in nature, although that is dependent on the number of schools becoming Academies.</p>

AREAS FOR IMPROVEMENT IDENTIFIED
CHILDREN & YOUNG PEOPLE'S SERVICES DIRECTORATE

Areas for improvement	Action proposed	Latest position
	<p>the landscape for services affecting children is changing rapidly.</p> <p>In recent reports to Executive Members, the Director has highlighted the issue of budget pressures arising from changes in national policy or other priorities linked to the Children and Young People's Plan including Family and Friends Car, Troubled Families and issues around vulnerable teenagers. It is anticipated that these pressures will need to be funded, at least initially, from within the Directorate's own resources.</p> <p>While the Directorate itself has contracted to a sustainable position, despite the reduction in resources, it will continue to assess, and react to, external demands and interventions which would otherwise destabilise its work. These might be the impact on partners mentioned above, or the knock-on effect to LA budgets of the Academies programme.</p>	
<p>B Safeguarding</p>	<p>Since the crisis in Haringey over the death of Baby Peter, all authorities and other agencies working with children, including North Yorkshire, have needed to respond to the challenges of -</p> <ul style="list-style-type: none"> • increased expectations on all aspects of 	<p>Transformation of Children's Social Care is now in place. Savings have been delivered and the frontline has been protected. The service has been subject to some protection from MTFS although this position is now being reviewed in light of further savings</p>

AREAS FOR IMPROVEMENT IDENTIFIED
CHILDREN & YOUNG PEOPLE'S SERVICES DIRECTORATE

Areas for improvement	Action proposed	Latest position
	<p>safeguarding</p> <ul style="list-style-type: none"> • an increase in the number of assessments which Social Care staff have to undertake • an increase in the number of children placed into care. <p>Additional resources provided by the Council have included -</p> <ul style="list-style-type: none"> • additional provision for child placement in 2010/11 of at least £1.25m • provision in 2009/10 for 9 additional Social Workers with further provision for 12 extra Social Workers in 2010/11 (in aggregate an additional budget provision of £800k) <p>Work continues to improve the efficiency and effectiveness of the placements strategy and this will be consolidated in 2012/13. The expected outcomes of this are factored into efficiency savings – with no impact on service quality – in the later years of the MTFs.</p> <p>Added to this are pressures arising from the numbers of:</p> <ul style="list-style-type: none"> • children going through the Common Assessment Framework • older children in the care system with higher levels of need 	<p>requirements.</p> <p>Additional cost pressures in placements (as a result of national policy changes) is being managed within existing Directorate resources.</p>

AREAS FOR IMPROVEMENT IDENTIFIED
CHILDREN & YOUNG PEOPLE'S SERVICES DIRECTORATE

Areas for improvement	Action proposed	Latest position
	<ul style="list-style-type: none"> • vulnerable teenagers <p>The Directorate will also seek to monitor and react to programmes for homelessness amongst young people, while recognising the strains being placed on partner organisations through external pressures, and recognising the risks to funding such as that for Supporting People.</p>	
<p>C Maximise Resources and use them fairly across North Yorkshire schools and settings.</p>	<p>The current national debate regarding school funding and the government's proposals for 2013/14 and beyond create substantial risks for schools in North Yorkshire. While CYPS will continue with its main priority in this area which is to act as an advocate for schools in North Yorkshire and to ensure that the Council contributes to the debate regarding the funding of all types of schools, work will also focus on preparing for implementation in April 2013, working with the Schools Forum to minimise damage to the county's schools.</p> <p>At a local level CYPS will continue to pursue its policy of maximising headroom in the Dedicated Schools Grant to support school autonomy and schools' shared priorities. However this will now need to take place within the constraints being imposed upon local authorities by the government.</p>	<p>The Council has responded to the government's proposals for change with limited success. Although no funding will be removed from North Yorkshire at least for the next two years, we continue to have serious concerns about the impact of restricting local flexibility in the funding of schools. The DfE has accepted the issues and has promised a review of the new proposals (even before they have been implemented). We will engage with that review to ensure an outcome for schools in the county that is fair and equitable.</p> <p>A review of traded services, particularly in the light of the changes, is being undertaken and we expect to report back at year-end.</p> <p>There has been no significant movement by schools towards Academy status and the new funding arrangements mean that any financial advantage to conversion is now effectively gone.</p>

AREAS FOR IMPROVEMENT IDENTIFIED
CHILDREN & YOUNG PEOPLE'S SERVICES DIRECTORATE

Areas for improvement	Action proposed	Latest position
	<p>At the same time CYPS will ensure that there is effective management of centrally co-ordinated DSG resources and demonstrate Value for Money in traded services and also in CYPS-funded services which are free at the point of use for maintained schools, or provided on a fee basis to others (including Academies).</p> <p>There will also be a need to respond to any changes in the funding arrangements for Academy Schools together with any measures taken by Government to increase the number of such schools in North Yorkshire. In particular there is a concern that either of the above may impact adversely on the funds available to North Yorkshire schools</p>	

AREAS FOR IMPROVEMENT IDENTIFIED
HEALTH AND ADULT SERVICES DIRECTORATE

Areas for improvement	Action proposed	Progress to date
<p>A Demand outstrips budget provision for adult social care</p>	<p>The Directorate has developed a resource predictive model based on nationally approved population, demographic trend analysis. These tools and techniques have been used to create a forecasting model to predict the pattern and anticipated cost which could occur within the County. Based on this model it is estimated that the incremental demand cost could be approx £3m per year for the foreseeable future; this equates to an additional 500 clients.</p> <p>In response to this pressure the County Council has provided, within the Medium Term Financial Strategy, incremental budget provision of £3m per annum. This provision will be regularly reviewed to ensure it is responsive to fluctuations of price and number of people being supported and this will in turn feed into the revised budget projections.</p> <p>There is also an emerging financial challenge relating to other authorities exercising ordinary residence rights of clients living within the North Yorkshire boundary which results in NYCC becoming responsible for the person's care and financial liability. This is a significant risk because of the 2 large community villages within the County which provide accommodation for in excess of 150 people and the FE college for</p>	<ul style="list-style-type: none"> • The resource model is updated quarterly and monthly activity data for residential and domiciliary services reviewed by HAS Management Board. • Monthly budget monitoring reports are considered by HAS Management Board and Operational Management Teams. These feed in to the Quarterly Performance Reports considered by Executive. • Information in relation to ordinary residence placements are collated on a monthly basis and this information is used to inform the budget monitoring position. • The revenue budget monitoring position is favourable with a current under spend of £3.8m being reported to Executive as part of Q2 monitoring for 2012-13. • Discussions have been undertaken with FE College for visually impaired people in Harrogate. As a result of our greater understanding of their long term business intentions there is no longer a significant financial risk for NYCC.

**AREAS FOR IMPROVEMENT IDENTIFIED
HEALTH AND ADULT SERVICES DIRECTORATE**

Areas for improvement		Action proposed	Progress to date
		visually impaired people in Harrogate.	
B	Implementation of the Change and Improvement Agenda	<p>The Directorate has an ambitious efficiency and transformational programme which seeks to make cost savings by improving service outcomes as well as disinvesting in traditional forms of service delivery. There has been investment in low level prevention services and supporting people at home through the use of preventative technology such as telecare. The priority is also to reduce reliance on residential care and support more people within their home as well as increase the range of supported accommodation through an Extra Care.</p> <p>In addition the Directorate continues to transform its in house personal care service to provide a reablement service. For the majority of clients requiring support from the Directorate it is intended that this service will be the initial service offer undertaking the initial assessment to determine the individual life skills and developing a plan to improve these and level of independence.</p> <p>More recently the Directorate has introduced a programmed approach to monitoring the savings programme, regularising the frequency of review, the resources to monitor and support to deliver these projects.</p>	<ul style="list-style-type: none"> • Investment in preventative services such as reablement and telecare continues. • The Directorate has established performance targets for reducing the reliance on residential care. • The Directorate is committed to further expansion of Extra Care and the new scheme in Thirsk was approved by Executive on the 24 April 2012. • The personal care at home service has, in the main transformed into START (Short Term and Reablement Team). Given the significance of the change and financial pressures within the Directorate the HAS Management Board have commissioned a review of the service. • The Directorate has also introduced additional resources to monitor and support project delivery. In addition a more systematic approach to programme management has been introduced. As outlined earlier the Directorate's financial position is in good shape and most of the savings projects on track to deliver within the year. Equally we are aware of the projects where there is slippage and we addressing these areas.

**AREAS FOR IMPROVEMENT IDENTIFIED
HEALTH AND ADULT SERVICES DIRECTORATE**

Areas for improvement		Action proposed	Progress to date
C	Market forces lead to increases in the price of care that cannot be contained within budgets, or threaten market disruption, and service continuity	<p>The Directorate continues to undertake negotiations and dialogue with the independent sector through the Market Development Board. This is a forum comprising representatives from the independent sector, voluntary sector, health and NYCC. In the context of personalisation and transformational programme there is and will continue to be significant sharing of information to understand the market pressures within the County and take appropriate action as required. In addition there has been work with the independent sector to ensure business and service continuity. This should be viewed within the context of a national situation of increasing judicial challenge to those fees paid by Local Authorities.</p> <p>The Directorate is also working with the market to provide more creative solutions and services rather than relying on the traditional approaches to meeting people's support requirements.</p>	<ul style="list-style-type: none"> • Regular meetings of the Market Development Board are ongoing. These are wide ranging discussions on contractual matters, market development and training issues affecting the residential, domiciliary and voluntary sector. • More recently the Council has been served with Judicial Review proceedings by a range of complainants. The Judicial Review seeks to challenge the Residential and Nursing Home fees for 2012-13, the adequacy of consultation which led up to this decision and seeks to squash the fee decision for 2013-14. Mediation took place on the 15 August and an independent cost of care exercise is now underway.
D	Realise value for money within existing and new service delivery	<p>In light of the challenges outlined above the Directorate has/will be -</p> <ul style="list-style-type: none"> • invested in developing the contracting, procurement and quality assurance function • developing the quality assurance arrangements for residential care • undertaking value for money review of day provision and funding within the voluntary 	<ul style="list-style-type: none"> • The contracting, procurement and quality assurance team are now established and attention is being given to rolling out the quality assurance arrangements. • A programme of value for money reviews for day provision is being undertaken and annual contract monitoring for other forms of service taking place. • As part of the organisational changes

AREAS FOR IMPROVEMENT IDENTIFIED
HEALTH AND ADULT SERVICES DIRECTORATE

Areas for improvement	Action proposed	Progress to date
	<p>sector</p> <ul style="list-style-type: none"> • making further investment within the brokerage function in light of the introduction of Adult Integrated Solutions (AIS) and an invest to save approach to provide challenge to high cost packages of care for people with learning disabilities • reviewing out of County placements • continue to invest in the transformation of the personal care at home service to provide reablement which is intended to help people regain the skills and confidence to live at home independently or with reduced level of ongoing support. Coupled with investment in home based technology (such as telecare) there is evidence that these have lead to improved outcomes for people 	<p>arising from many of the One Council work streams the brokerage staff are now managed by Procurement, Contracting and Quality Assurance Team. This change will enhance the resources available to this area and lead to improvements in the ways of working.</p> <ul style="list-style-type: none"> • As part of the savings programme significant savings are envisaged from current learning disability arrangements. A programme board has been initiated to oversee these different strands of activity which include developing services within the County to enable people with significant needs to be supported at home and if not within close proximity of their families. • NYCC continues to work with North Yorkshire and York PCT and Clinical Commissioning Groups to ensure Health and Social Care Monies and Reablement funding are targeted to transform systems and deliver a better outcome for patients. Broad agreement has been reached on the approach to develop local services over the next 3 years and section 75 (Health Act 2006) agreements developed to govern these resources. The accompanying performance framework still has to be developed and agreed with our partners.

AREAS FOR IMPROVEMENT IDENTIFIED
HEALTH AND ADULT SERVICES DIRECTORATE

Areas for improvement		Action proposed	Progress to date
E	Introduction of Adult Integrated System and SWIFT Financials	<p>The introduction of the client system has not been a smooth process as there have been significant problems with the functionality and reliability of the system. Some improvements have been made through the application of 'hot fixes' to the live system and more recently there has been an upgrade of the system. It is early days but the Directorate is optimistic this will result in improved user experience and increased functionality. During the financial year the functionality for paying residential homes and billing residential clients via the system went live. There were a number of months where there were teething problems from a system and resourcing perspective but this is now resolved. Indeed HAS is now looking to utilise the system to make direct payments from June 2012. This will streamline the systems being used and be a more efficient payment process. It also provides the Directorate with a resilient system to respond to the increasing numbers of direct payments recipients.</p> <p>Further attention is required to improve the reliability of the data within the system to enable progress to be made on automatic payment of non residential services and to remove unnecessary activities such as data cleansing routines required for statutory returns.</p>	<ul style="list-style-type: none"> • The latest version release (v27.0.1) has been implemented and this is working effectively • Transactions in respect of residential care are now live within the AIS. In addition the interface from AIS to Accounts payable is running smoothly. There are issues in relation to the speed of transactions and this is being investigated by both Northgate and NYCC. • Direct payments are now made using the system and we are currently testing the approach to making one off payments. This is a more automated way of working and will improve the accuracy and management information. • In terms of improving the quality of data this has been approached in 2 ways; providing operational staff with access to a data quality database to enable them to retrospectively check the accuracy of data recorded on the system as well as the production of an output report which will enable staff to validate the information prior in real time. The deployment of both of these approaches should result in improved data. In addition data quality is now part of the management and supervision undertaken by team managers.

**AREAS FOR IMPROVEMENT IDENTIFIED
HEALTH AND ADULT SERVICES DIRECTORATE**

Areas for improvement	Action proposed	Progress to date
<p>F Personalisation and Think Personal Act Local</p>	<p>The Directorate has a made significant progress in this area in relation to the milestones required by the Department of Health. More recently the Authority has also signed up to 'Making it Real programme' which is a public statement of actions required to develop the personalisation agenda. The progress against plan will be monitored and published on the website.</p> <p>This is a challenging agenda which will also be performance monitored by the number of clients receiving a personal budget. The target is 100% by the end of 2013. The greater challenge then relates to increasing the number of people who take up a direct payment and decide to manage their own care.</p> <p>The administrative arrangements for direct payments are currently being reviewed in light of experience and to simplify the supporting paperwork. It is hoped that this will remove internal barriers which may have been a stumbling block for staff and lead to improved referral rate for clients choosing to take up a Direct Payment.</p> <p>In addition 6/8 week reviews are being introduced to ensure that Direct payment recipients are managing their personal care and financial arrangements more effectively. This check will provide an earlier warning of potential problems or where additional support is required.</p>	<ul style="list-style-type: none"> • An update report in relation the revised Fairer Contribution Policy was presented to the Care and Independence Overview and Scrutiny Committee on the 30 August 2012. This demonstrates that of those people being eligible for community based services less than 1% have declined services due to financial reasons. • Version 27.02 of the Adult Integrated System is currently in test system and has been released to full live. This will provide the functionality for automating the Needs Assessment Questionnaire; we are planning to go live with this functionality early December. Separately we are also exploring options for utilising a separately hosted assessment product and this will require a business case to justify the additional costs relating to upfront licence, implementation costs and ongoing costs. • The Direct Payment administrative processes have been reviewed and simplified. Monitoring arrangements have been introduced to determine themes around non take-up of Direct Payments following initial referral. • Innovations funding was awarded to the North Yorkshire Centre for Independent Living in August 2012 to develop a peer support network, a Personal Assistant

**AREAS FOR IMPROVEMENT IDENTIFIED
HEALTH AND ADULT SERVICES DIRECTORATE**

Areas for improvement	Action proposed	Progress to date
	<p>As part of the recent AIS updates the next phase of system development will be to utilise the needs assessment questionnaire. This will further simplify the processes within the Directorate and improve the speed at which people can be informed of their indicative personal budget.</p> <p>The charging policy was revised to bring this in line with personalisation guidelines issued by Dept of Health. This took place from May 2011. There has been a small increase in the number of complaints and some clients who have made choices about their care requirements once the financial assessment has been completed. These situations continue to be monitored and a report will be presented to Care and Independence Overview and Scrutiny in the Autumn 2012.</p>	<p>Register and to provide practical advice, support and training regarding the recruitment of Personal Assistants to Direct Payment recipients in Scarborough, Whitby and Ryedale. This will be extended to other areas of the County in 2013.</p> <ul style="list-style-type: none"> • An Individual Service Fund (ISF) pilot is currently being procured with an implementation date early December. An ISF is a money management option for personal budget holders who choose not to manage some or all of their support through a Direct Payment, but want more choice, control and flexibility than through a Council managed personal budget. This will contribute positively to the target of 70% personal budgets by 2013. • A risk assessment framework is being developed to ensure there is consistency of decision making within the Directorate and ensure those support arrangements with more risk are appropriately signed off. This framework should provide increased governance and transparency of decision making. It should also support the personalisation agenda by focussing on personal outcomes, creative support planning and risk management.

Risk Register: month 6 (Feb 13) – detailed draft

Report Date: 20th February 2013 (hmd)

Phase 1 - Identification											
Risk Number	15/151	Risk Title	15/151 - Superfast North Yorkshire				Risk Owner	CEX NYnet		Manager	CEX NYnet
Description	Failure to maximise the opportunity to provide high quality broadband services to North Yorkshire businesses and residents resulting in significant lost opportunities, community dissatisfaction, sub optimal procurement, criticism					Risk Group	Partnerships		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Regular Connecting North Yorkshire Board and NYnet Board meetings, Connecting North Yorkshire vision and strategy fully managed by NY net, community co-ordinator network being established, existing pilots, community schemes and lessons learned, website and Connecting North Yorkshire updates being developed as part of communications approach, stakeholders engaged (LGNYY, LEP), project team established, County and District members and members of the public engaged, Community internet Service Provider capacity and business models reviewed to test sustainability, roll-out plans in place and risk register						Effectiveness		
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	15/68 - Roll out Community Schemes using the framework procurement process						CEX NYnet	Mon-30-Jun-14		0%	
Reduction	15/88 - Continue discussions with BT UK/ERDF for further funding re 10% Schemes						CEX NYnet	Sun-30-Jun-13		0%	
Reduction	15/89 - CNY Board continues to meet regularly – NYnet is managing agent for delivery purposes						CEX NYnet	Sun-30-Jun-13		0%	
Reduction	15/90 - Continue to regularly monitor roll-out plan with BT and Business Support and instigate escalation arrangements if necessary						CEX NYnet	Sun-30-Jun-13		0%	
Reduction	15/91 - Create roll out plan for Demand Stimulation across business and local communities						CEX NYnet	Sun-31-Mar-13		0%	
Reduction	15/92 - Continue to engage County and District members and members of the public through seminars and scrutiny						CEX NYnet	Sun-30-Jun-13		0%	
Reduction	15/100 - Continue to review Community Internet Service Provider capacity and business models to test sustainability						CEX NYnet	Sun-30-Jun-13		0%	
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan	15/521 - Rethink community engagement and overall approach								CEX NYnet		

Central Services Directorate - Draft

Risk Register: **month 6 (Feb 13) – detailed draft**
 Report Date: 20th February 2013 (*hmd*)

Phase 1 - Identification											
Risk Number	15/161	Risk Title	15/161 - Information Governance				Risk Owner	CD SR		Manager	CD SR
Description	Ineffective information governance arrangements lead to data loss resulting in loss of reputation, fine, etc.					Risk Group	Legislative		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Information Governance Strategy including the Policy and Procedure Framework, CIGG Action Plan application of the Maturity model quality assurance methodology. Current activities include data breach process, messages from senior management, on-line training, staff induction, information asset registers, DIGCs, posters, intranet information. Application of all the features of the Information Security Management System (ISMS).						Effectiveness		
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	15/175 - Continue to implement the Strategy including the Action Plan					CD SR	Sun-30-Jun-13		0%		
Reduction	15/176 - Continue to implement awareness raising campaign					CD SR	Sun-30-Jun-13		0%		
Reduction	15/177 - Further development of ISMS including the introduction of proactive monitoring					CSD SR AD ICT	Sun-31-Mar-13		0%		
Reduction	15/178 - Review Terms of Reference, Strategy, Policy and any other issues that arise					CD SR	Fri-31-May-13		0%		
Reduction	15/179 - Review CIGG and its ways of working					CD SR	Sun-31-Mar-13		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	M	Category	4
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan	15/514 - Review Action Plan and new technology and continue to raise awareness								CD SR		



Central Services Directorate - Draft

Risk Register: **month 6 (Feb 13) – detailed draft**
 Report Date: 20th February 2013 (*hmd*)

Phase 1 - Identification											
Risk Number	15/166	Risk Title	15/166 - Organisational Performance Management				Risk Owner	CD SR		Manager	CD SR
Description	Lack of adequate focus on performance at council, service, team and individual level resulting in poorer service delivery, public dissatisfaction, criticism, suboptimal working and lost opportunities					Risk Group	Performance		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Corporate Performance Management Framework including service planning, quarterly reports to Exec, participation in benchmarking exercises, Corporate Performance Management Group, emerging team performance management matrix, internal peer review of performance management matrix, review of Q performance reports						Effectiveness		
Probability	M	Objectives	M	Financial	M	Services	H	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	15/201 - Following review by management team, further revise the Corporate Performance Management Framework						CD SR	Sun-30-Jun-13		0%	
Reduction	15/202 - Ongoing use of benchmarking data to identify relative performance (where available)						CD SR	Sun-30-Jun-13		0%	
Reduction	15/203 - Implementation of team / service based performance matrix which includes assessment of cost drivers						CD SR	Sun-31-Mar-13		0%	
Reduction	15/204 - Review of revised arrangements including feedback from internal peer review						CD SR	Sun-31-Mar-13		0%	
Reduction	15/205 - Review and implementation of new Q reporting arrangements						CD SR	Sun-30-Jun-13		0%	
Reduction	15/206 - Review of service performance planning (SPP) approach						CD SR	Sun-31-Mar-13		0%	
Reduction	15/207 - Ensure that there is a good understanding of performance across all teams						CD SR	Sun-30-Jun-13		0%	
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	M	Category	4
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	15/518 - Fundamental review of approach									CD SR	

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Phase 1 - Identification												
Risk Number	15/162	Risk Title	15/162 - ICT					Risk Owner	CD SR		Manager	CSD SR AD ICT
Description	Failure of ICT Services to effectively and efficiently ensure the smooth delivery of key systems and infrastructure and to provide the organisation with advice and guidance on how to make the best and most efficient use of existing technology leading to customer dissatisfaction, suboptimal ways of working						Risk Group	Performance		Risk Type		
Phase 2 - Current Assessment												
Current Control Measures			Effective service desk, service infrastructure teams, migration to Windows 7, documented support processes, continual review of service desk calls, processes and projects; solutions team, process for new projects in place, Client team,						Effectiveness			
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2	
Phase 3 - Risk Reduction Actions												
							Action Manager	Action by	Completed	%		
Reduction	15/49 - Maximise use of existing systems which will help to promote savings						CSD SR AD ICT	Sun-30-Jun-13		0%		
Reduction	15/50 - Plan for and implement WAN 3						CSD SR AD ICT	Mon-31-Mar-14		0%		
Reduction	15/111 - Review and revise ICT strategy and ensure it is owned by the whole Council						CSD SR AD ICT	Sun-30-Jun-13		0%		
Reduction	15/180 - Ensure optimal use of existing technology (core infrastructure, end user devices, mobile access)						CSD SR AD ICT	Sat-31-May-14		0%		
Reduction	15/181 - Develop and implement one channel for all new project requests						CSD SR AD ICT	Tue-31-Dec-13		0%		
Reduction	15/182 - Ensure an integrated approach involving the service and ICT services is developed and implemented for all service change which includes ICT						CSD SR AD ICT	Tue-31-Dec-13		0%		
Reduction	15/183 - Review and revise the structure within ICT Services to enable joint working with corporate development officers						CSD SR AD ICT	Mon-31-Mar-14		0%		
Reduction	15/184 - Develop method of awareness of service strategies						CSD SR AD ICT	Tue-31-Dec-13		0%		
Reduction	15/185 - Develop effective mechanism for providing services with information in relation to their use of ICT						CSD SR AD ICT	Tue-31-Dec-13		0%		
Reduction	15/186 - Ensure time given to horizon scanning for technology for new ways of working						CSD SR AD ICT	Mon-31-Mar-14		0%		
Reduction	15/187 - Deliver presentation at senior managers seminar						CSD SR AD ICT	Sun-31-Mar-13		0%		
Phase 4 - Post Risk Reduction Assessment												



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Probability	L	Objectives	M	Financial	M	Services	M	Reputation	M	Category	5
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	15/515 - Review ways of delivering ICT									CSD SR AD ICT	



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Risk Register: **month 6 (Feb 13) – detailed draft**
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Phase 1 - Identification											
Risk Number	15/11	Risk Title	15/11 - One Council Change Programme				Risk Owner	Chief Exec		Manager	CSD DMT
Description	Failure to lead delivery of the 'One Council' organisational change programme to enable simplifying, standardising and sharing across the council to reduce costs, whilst delivering customer focused services, resulting in financial cost, poorer service outcomes, lost opportunities, need to revisit savings on front line services					Risk Group	Strategic		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			One council vision and approach agreed by mgt board. One Council Vision refreshed, 9 workstreams approved for progression, programme director, programme office and supporting staff in place, personal commitment from CEO, CDs as sponsors, communications strategy with Members and staff, linked to MTFS, governance arrangements established, overall programme plan developed and approved by MB, Overview and Scrutiny Task Group, briefings to Cabinet, BRG and MB engagement, functions and staff transfer to Bus. Support agreed and transferred, new mgt structure for Bus. Support in place					Effectiveness			
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	15/101 - Ongoing communication and engagement with Business Support and administrative service staff						CSD ACE BS	Sun-30-Jun-13		0%	
Reduction	15/173 - Ongoing development and execution of Business Support and Admin. Implementation plans						CSD ACE BS	Wed-31-Dec-14		0%	
Reduction	15/174 - Revise approach to modernising the finance function as a new workstream						CD SR	Sun-30-Jun-13		0%	
Reduction	15/830 - Increased positive involvement of all managers and staff						Chief Exec	Sun-30-Jun-13		0%	
Reduction	15/831 - Ongoing review of governance arrangements						CD SR	Sun-30-Jun-13		0%	
Reduction	15/834 - Refresh ICT strategy and ways of working in line with ICT risk number 15/162						CD SR	Sun-30-Jun-13		0%	
Reduction	15/835 - Continue to develop and deliver an ongoing communication and engagement plan						CSD HoC	Sun-30-Jun-13		0%	
Reduction	15/836 - Ongoing review of capacity and approach to deliver change management to support services throughout the authority						CD SRCSD ACE BS	Sun-30-Jun-13		0%	
Reduction	15/838 - Promote and embed cultural change						CSD DMT	Sun-30-Jun-13		0%	
Reduction	18/168 - Refresh of One Council Vision as part of wider Council operating model						CD SR	Mon-31-Dec-12	Mon-31-Dec-12	100%	
Reduction	18/932 - Consideration of arrangements for critical friend / peer review						CD SR	Sun-30-Jun-13		0%	
Phase 4 - Post Risk Reduction Assessment											



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Probability	L	Objectives	L	Financial	L	Services	L	Reputation	M	Category	5
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	18/198 - Reprioritisation of savings, further consideration of structures and ways of working										All Mgt Board



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Phase 1 - Identification											
Risk Number	15/163	Risk Title	15/163 - Service Continuity Planning				Risk Owner	CD SR	Manager	CSD EPM	
Description	Failure to deliver Service Continuity Planning across the County Council resulting in the potential for NYCC being unable to deliver its critical services and / or meet the statutory requirements					Risk Group	Service continuity	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Existing plans in place, dedicated SCP resource, corporate and directorate champions in place, new process for SC arrangements in place with BES,				Effectiveness				
Probability	M	Objectives	H	Financial	M	Services	H	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	15/188 - Rollout of new process for SC arrangements across other directorates					CSD EPM	Sun-31-Mar-13		0%		
Reduction	15/189 - Insist on ownership Corporately - each CD to include compliance statement in annual SoA					CD SR	Sun-30-Jun-13		0%		
Reduction	15/190 - Review of corporate arrangements including feedback, outcome of internal audit and testing					CSD EPM	Tue-31-Dec-13		0%		
Reduction	15/191 - Ensure process for analysis of SCM documents for identifying critical services and corporate issues					CSD EPM	Sun-30-Jun-13		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	M	Category	5
Phase 5 - Fallback Plan											
								Action Manager			
Fallback Plan	15/516 - Reprioritise, liaise with neighbouring authorities and utilise best practice							CSD EPM			



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Phase 1 - Identification											
Risk Number	15/168	Risk Title	15/168 - Ethical Conduct				Risk Owner	Chief Exec	Manager	CSD ACE LDS	
Description	Failure to ensure the maintenance of high standards of ethical conduct, particularly during a period of change including elections resulting in Members being vulnerable to criticism, negative media attention					Risk Group	Legislative	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Standards committee, induction following elections and ongoing training for Members and Officers, monitoring officer and Democratic Services team in position to give advice, guidance in the Constitution, periodic briefings, documents available on internet and intranet, pro-active advice to Members, new ethical framework					Effectiveness			
Probability	L	Objectives	H	Financial	L	Services	L	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
Reduction	17/894 - Monitoring legislation					Action Manager	CSD ACE LDS	Action by	Sun-30-Jun-13	Completed	%
Reduction	17/895 - Training for Members and Officers					Action Manager	CSD ACE LDS	Action by	Sun-30-Jun-13	Completed	0%
Reduction	17/896 - Training for quasi judicial committee members					Action Manager	CSD ACE LDS	Action by	Sun-30-Jun-13	Completed	0%
Reduction	17/897 - Continue to maintain register of members interests					Action Manager	CSD ACE LDS	Action by	Sun-30-Jun-13	Completed	0%
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	H	Financial	L	Services	L	Reputation	L	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	15/519 - Train members, media management,								Action Manager	CSD ACE LDS	



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Phase 1 - Identification											
Risk Number	15/165	Risk Title	15/165 - Customer Services				Risk Owner	CD SR		Manager	CD SR
Description	Failure to implement successful customer strategy results in inability to deliver a range of higher quality customer services for the council, partners and local people					Risk Group	Performance		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Agreed governance arrangements, customer journey priorities agreed, key lead officers identified, mapping of staff underway, customer access workstream, customer service standards, assorted customer insight activities, existing partnership arrangements, complaints system, existing joint access centres.					Effectiveness			
Probability	L	Objectives	M	Financial	L	Services	H	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	15/195 - Support and enable front line staff across the council to be able to satisfy the full range of customer requests					CD SR	Sun-30-Jun-13		0%		
Reduction	15/196 - Successful delivery of customer journey reviews					CSD SR CS CSCM	Sun-30-Jun-13		0%		
Reduction	15/197 - Delivery of key tools and enablers					CSD SR HoC&I	Sun-30-Jun-13		0%		
Reduction	15/198 - Council wide positive campaign to ensure that all services actively consider customer issues.					CSD SR HoC&I	Sun-30-Jun-13		0%		
Reduction	15/199 - Ensure the work stream has resources to deliver the plans.					CD SR	Sun-30-Jun-13		0%		
Reduction	15/200 - Use customer insight to inform, plan, prioritise and test proposals.					CSD AD Comms	Sun-30-Jun-13		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	L	Services	L	Reputation	M	Category	5
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan											



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Phase 1 - Identification											
Risk Number	15/170	Risk Title	15/170 - Change Management				Risk Owner	Chief Exec		Manager	CSD DMT
Description	Failure to adequately work well with staff whilst delivering widespread organisational change and savings across CSD resulting in increased demands on managers, more complex workload, staff demotivation, employee issues and the need to identify alternative savings					Risk Group	Change Mgt		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Communication and engagement arrangements including regular intranet updates, Chief Exec's fortnightly message, Chief Exec's targeted email for managers, Chief Exec's staff meetings around the County, Central Services and senior managers seminars, video clips, Planning, Prioritisation, Negotiation, Management development, accessibility of HR Services, Policy info and guidance, staff information on intranet, Corporate workforce planning, links with other services, service review and refocus, HR practitioners upskilled, regular budget monitoring including savings					Effectiveness			
Probability	M	Objectives	M	Financial	L	Services	M	Reputation	M	Category	4
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	15/48 - Ongoing communication/engagement arrangements and monitoring for One Council						CSD ACE BS	Sun-30-Jun-13		0%	
Reduction	15/53 - Implementation of Corporate Performance Management Framework						CD SR	Sun-30-Jun-13		0%	
Reduction	15/54 - Continual monitoring of the budget including savings via CSDMT						CD SR	Sun-30-Jun-13		0%	
Reduction	15/55 - Encourage new savings ideas from CSDMT to identify substitute proposals as and when necessary						CD SR	Sun-30-Jun-13		0%	
Reduction	15/56 - Further development of Behaviour and Skills framework as part of the Management and Supervision workstream						CSD ACE BS	Sun-30-Jun-13		0%	
Reduction	15/145 - Further development and implementation of staff engagement tools						CSD ACE BS	Sun-30-Jun-13		0%	
Reduction	15/208 - Carry out staff survey and follow up action						CSD ACE BS	Sun-30-Jun-13		0%	
Reduction	15/209 - Ongoing development and support offered to managers						CSD ACE BS	Sun-30-Jun-13		0%	
Reduction	15/832 - Production and launch of managers' guide						Chief Exec	Sun-30-Jun-13		0%	
Reduction	15/833 - Develop approach to retention of key staff and succession planning						CSD DMT	Tue-31-Dec-13		0%	
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	L	Services	M	Reputation	M	Category	5
Phase 5 - Fallback Plan											



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		Action Manager
Fallback Plan	15/172 - Review of overall approach, identify alternative savings	CSD DMT



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Phase 1 - Identification											
Risk Number	15/29	Risk Title	15/29 - Ensuring Legality				Risk Owner	Chief Exec		Manager	CSD ACE LDS
Description	Failing to ensure that the Council acts lawfully in its operations resulting in challenge, non-delivery of decisions, financial implications and loss of reputation particularly given service and statutory obligations					Risk Group	Legislative		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Lawyers and DSO's engage with Directorates, delegation scheme, constitution, training, legislation monitoring and advice notes/briefings, increased monitoring of committee reports. ACE L & DS on MB, Proforma for Executive Reports covering major issues, Monitoring complaints and commendation policy and system,					Effectiveness			
Probability	L	Objectives	L	Financial	M	Services	M	Reputation	M	Category	5
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	15/57 - Ensure effective monitoring of new legislation and make sure Directorates are aware of legislation affecting their service areas					CSD ACE LDS	Sun-30-Jun-13		0%		
Reduction	15/824 - Continue to strengthen links with Directorates including liaison by Monitoring Officer with Directorates and ensure consultation on legality of major initiatives.					CSD ACE LDS	Sun-30-Jun-13		0%		
Reduction	15/825 - Monitoring of committee reports and decision making to ensure Council decision making takes account of relevant considerations including EIA's					CSD ACE LDS	Sun-30-Jun-13		0%		
Reduction	15/826 - Procure and implement a new Democratic Services IT system					CSD ACE LDS	Sun-31-Mar-13		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	M	Services	M	Reputation	M	Category	5
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan	15/169 - Revisit control measures							CSD ACE LDS			

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Identity			Person		Classification												Fallback Plan			
Risk No	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre					RR		Post					FBPlan	Action Manager		
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv			Rep	Cat
◀▶	15/151 - Superfast North Yorkshire	Failure to maximise the opportunity to provide high quality broadband services to North Yorkshire businesses and residents resulting in significant lost opportunities, community dissatisfaction, sub optimal procurement, criticism	CEX NYnet	CEX NYnet	M	M	M	M	H	2	7	31/03/2013	L	M	M	M	H	3	Y	CEX NYnet
◀▶	15/161 - Information Governance	Ineffective information governance arrangements lead to data loss resulting in loss of reputation, fine, etc	CD SR	CD SR	M	M	M	M	H	2	5	31/03/2013	M	M	M	M	M	4	Y	CD SR
▲	15/166 - Organisational Performance Management	Lack of adequate focus on performance at council, service, team and individual level resulting in poorer service delivery, public dissatisfaction, criticism, suboptimal working and lost opportunities	CD SR	CD SR	M	M	M	H	M	2	7	31/03/2013	M	M	M	M	M	4	Y	CD SR
◀▶	15/162 - ICT	Failure of ICT Services to effectively and efficiently ensure the smooth delivery of key systems and infrastructure and to provide the organisation with advice and guidance on how to make the best and most efficient use of existing technology leading to customer dissatisfaction, suboptimal ways of working	CD SR	CSD SR AD ICT	M	M	H	M	M	2	11	31/03/2013	L	M	M	M	M	5	Y	CSD SR AD ICT
◀▶	15/11 - One Council Change Programme	Failure to lead delivery of the 'One Council' organisational change programme to enable simplifying, standardising and sharing across the council to reduce costs, whilst delivering customer focused services, resulting in financial cost, poorer service outcomes, lost opportunities, need to revisit savings on front line services	Chief Exec	CSD DMT	M	M	H	M	M	2	11	30/06/2013	L	L	L	L	M	5	Y	All Mgt Board
◀▶	15/163 - Service Continuity Planning	Failure to deliver Service Continuity Planning across the County Council resulting in the potential for NYCC being unable to deliver its critical services and / or meet the statutory requirements	CD SR	CSD EPM	M	H	M	H	M	2	4	31/03/2013	L	M	M	M	M	5	Y	CSD EPM



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Identity			Person		Classification													Fallback Plan		
Risk No	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FBPlan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
◀▶	15/168 - Ethical Conduct	Failure to ensure the maintenance of high standards of ethical conduct, particularly during a period of change including elections resulting in Members being vulnerable to criticism, negative media attention	Chief Exec	CSD ACE LDS	L	H	L	L	M	3	4	30/06/2013	L	H	L	L	L	3	Y	CSD ACE LDS
◀▶	15/165 - Customer Services	Failure to implement successful customer strategy results in inability to deliver a range of higher quality customer services for the council, partners and local people	CD SR	CD SR	L	M	L	H	M	3	6	30/06/2013	L	M	L	L	M	5	N	
- new -	15/170 - Change Management	Failure to adequately work well with staff whilst delivering widespread organisational change and savings across CSD resulting in increased demands on managers, more complex workload, staff demotivation, employee issues and the need to identify alternative savings	Chief Exec	CSD DMT	M	M	L	M	M	4	10	30/06/2013	L	M	L	M	M	5	Y	CSD DMT
◀▶	15/29 - Ensuring Legality	Failing to ensure that the Council acts lawfully in its operations resulting in challenge, non delivery of decisions, financial implications and loss of reputation particularly given service and statutory obligations	Chief Exec	CSD ACE LDS	L	L	M	M	M	5	4	31/03/2013	L	L	M	M	M	5	Y	CSD ACE LDS

Key	
▲	Risk Ranking has worsened since last review.
▼	Risk Ranking has improved since last review
◀▶	Risk Ranking is same as last review
- new -	New or significantly altered risk

