

## NORTH YORKSHIRE COUNTY COUNCIL

### AUDIT COMMITTEE

5 DECEMBER 2013

### CORPORATE GOVERNANCE – PROGRESS REPORT

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

#### **1.0 PURPOSE OF REPORT**

- 1.1 To update members on Corporate Governance matters.
- 1.2 To report on progress made in addressing the issues raised in the Annual Governance Statement which was produced as part of the 2012/13 Statement of Accounts.
- 1.3 To consider the updated Corporate Risk Register

#### **2.0 BACKGROUND**

- 2.1 According to the Terms of Reference of the Audit Committee, its role in respect of Corporate Governance is:
  - i) to assess the effectiveness of the authority's Corporate Governance arrangements - reports are submitted at regular intervals during the year as set out in the Programme of Work.
  - ii) to review progress on the implementation of Corporate Governance arrangements throughout the authority - reports are submitted at regular intervals during the year as set out in the Programme of Work.
  - iii) to approve the Annual Governance Statement - approved as part of the Statement of Final Accounts (SoFA).
  - iv) to review the annual Statements of Assurance provided by the Chief Executive and Corporate Directors - addressed by including progress updates in the Directorate specific reports submitted to each meeting alongside a report on that particular Directorate from the Head of Internal Audit.

2.2 As previously reported to the Audit Committee, there is a Corporate Governance Officers Group (CGOG) which meets on a regular basis to discuss areas of corporate governance activity within the County Council. This draws together officers including the Section 151 Officer, the Monitoring Officer, the Chief Internal Auditor and the Risk and Insurance Manager. This meeting is more of an operational meeting of key stakeholders in corporate governance related work and it seeks to ensure that the council is responding to demands and initiatives; is horizon scanning for future needs; and is providing the necessary assurance and advice to Members, Management Board and the wider council. A summary of key issues addressed by this Group are as follows:

- Ensuring review and update of Contract Procedure Rules, Finance Procedure Rules and Property Procedure Rules
- Consideration of CIPFA's draft Practical Guidance for Local Authorities' Audit Committees
- Ensuring governance arrangements are in place for the 2020 North Yorkshire Plan

2.3 In addition, there are other officer groups which meet to co-ordinate activity on information governance and risk management. A progress report on key risk management issues is provided to this Committee in the June meeting. Information governance issues feature prominently and a separate report is elsewhere on the Committee's agenda.

2.4 The Standards Committee also monitors certain corporate governance issues, though its main functions are in pursuance of the Council's statutory responsibilities in relation to the ethical framework. The Monitoring Officer, as a member of CGOG, ensures continued liaison with the Standards Committee on matters of joint interest.

### **3.0 ANNUAL GOVERNANCE STATEMENT – MID YEAR REVIEW**

3.1 This Committee received the Annual Governance Statement (AGS) for final approval at its 26 September 2013 meeting, as part of the 2012/13 Statement of Final Accounts papers. The AGS is effectively an annual report which assesses the effectiveness of the governance processes which have been put in place within the council and identifies any areas requiring improvement.

3.2 In order to fulfil its responsibilities, the Audit Committee needs to be able to satisfy itself that the governance and internal control environment described in the AGS is in fact both operational and effective. One aspect of this assurance process is to review progress by management on dealing with the issues identified in the AGS.

3.3 Paragraphs 7.1 and 7.2 of the AGS 2012/13 explains the position as follows:-

7.1 *The governance and internal control arrangements can provide only reasonable and not absolute assurance that assets are safeguarded, that transactions are authorised and properly recorded, that material errors or irregularities are either prevented or would be detected within a timely period and that significant risks impacting on the achievement of the County Council's objectives have been mitigated.*

7.2 *On the basis of the review work carried out it was considered that the majority of the governance and internal control arrangements continue to be regarded as fit for purpose in accordance with the governance framework during the financial year 2012/13. **There were, however, some areas identified which require attention to address weaknesses and ensure continuous improvement of governance and internal control arrangements; included within this definition are issues related to service delivery, the satisfactory achievement of which will depend in some measure on changes to improvements in governance and internal control arrangements.***

3.4 Previously, each Corporate Director and the Chief Executive has provided a mid year update which explains progress since production of the AGS. However in view of the fact that this Committee was provided with an update on progress relating to the Statement of Assurance for Health and Adult Services in September and will receive an update from Business and Environmental Services at this Committee meeting, the mid year update will concentrate on the remaining Directorates. Please see **Appendix A** which provides this detail and an opportunity for the Committee to satisfy itself on the actions being taken by Management Board collectively and individually.

#### **4.0 CORPORATE RISK REGISTER**

4.1 Management Board has reviewed and approved a new Corporate Risk Register which identifies the following areas as key risks for the Council to manage over the forthcoming year:-

- Health Integration
- Funding Challenges
- 2020 North Yorkshire Change Programme
- Inspection Outcomes
- Waste Strategy
- Superfast North Yorkshire
- School Organisation: Place Planning and Funding
- Economic Development in North Yorkshire
- Major Emergencies in the Community
- Health and Safety
- Organisational Performance Management

- 4.2 It should be noted that other risks are actively identified throughout the Council. The Corporate Risk Register seeks to identify these key significant risks that are likely to impact across the Council and require collective action in order to mitigate. A summary of the Corporate Risk Register is attached as **Appendix B**.
- 4.3 It would be useful to gauge the Committee's views on whether it feels the key risks and reasonable mitigations have been identified.

## **5.0 RECOMMENDATIONS**

5.1 That the Audit Committee

- i) raise any issues arising from progress relating to corporate governance activity
- ii) consider the mid year review of the Annual Governance Statement (**Appendix A**)
- iii) consider the updated Corporate Risk Register (**Appendix B**) and discuss the outcome.

Gary Fielding  
Corporate Director, Strategic Resources

County Hall  
Northallerton

5 December 2013

Background Papers - none

## DRAFT

## MID YEAR ANNUAL GOVERNANCE STATEMENT REVIEW – December 2013

AREAS FOR IMPROVEMENT IDENTIFIED			
Original AGS Ref.	Areas for Improvement	Action Proposed	Latest Position
A7	<p><b>CYPS - Maintaining and improving performance while reducing budget</b> by over £20m in the 4-year period 2011-15, increased from the original target of £15.8m as a result of the financial settlement in December 2012.</p>	<p>The scale of budget cuts required – and achieved to date, whilst maintaining service levels, has been a significant challenge. The objective has been to protect front-line services as much as possible.</p> <p>While the original target was very much front-loaded into years 1 and 2, the revised targets have meant that some additional savings are required in years 3 and 4. Nevertheless, this still means that nearly 75% of the revised target has been met by March 2013. CYPS will seek to ensure that the impact of the cuts is not felt on the frontline where that is possible. At the same time, externally-driven pressures on the County Council and on partners, such as the NHS, will be monitored. There are risks that CYPS's work will be compromised by these demands at a time when the landscape for services affecting children is</p>	<p>Most of the actions required to make the savings agreed in the revised MTFS have now been implemented. A major consultation exercise on Home to School Transport is currently underway and responses will be considered in due course. All of the service areas affected in MTFS 1&amp;2 will again need to be considered in the light of further savings requirements for 2015-19 which will be addressed through more fundamental service reviews.</p> <p>All MTFS actions required for 2014-15 are therefore being reviewed to ensure that while savings targets are met, there is no inconsistency between those actions and the potential findings of the service reviews.</p> <p>Frontline services remain the priority and we continue to keep the emerging national pressures under review. Further information on safeguarding pressures is contained in the next</p>

AREAS FOR IMPROVEMENT IDENTIFIED			
Original AGS Ref.	Areas for Improvement	Action Proposed	Latest Position
		<p>changing rapidly.</p> <p>There are some emerging budget pressures arising from changes in national policy or other priorities linked to the Children and Young People's Plan including Family and Friends Care, Troubled Families and issues around vulnerable teenagers. It was anticipated that these pressures would have to be found from within the resources allocated to CYPS and therefore some headroom was made available. However this has had to be reviewed in light of the additional savings targets and therefore adds to the risk of non-achievement. To mitigate this, arrangements will be out in place to monitor more closely and report on the savings plans and their implementation.</p> <p>CYPS 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</p>	<p>section.</p> <p>Although two further schools have converted to Academy status during the year, the DfE has not yet reduced LA funding. Nevertheless we have estimated the likely reductions and are taking this into account in budget planning</p>

<b>AREAS FOR IMPROVEMENT IDENTIFIED</b>			
<b>Original AGS Ref.</b>	<b>Areas for Improvement</b>	<b>Action Proposed</b>	<b>Latest Position</b>
		<p>programme.</p> <p>In particular, new funding arrangements for Academies mean that the Council will now lose core funding for every conversion and we will monitor this carefully throughout the year</p>	
<b>A8</b>	<b>Safeguarding</b>	<p>CYPS continues to experience a significant increase in referrals with subsequent pressure to deliver quality initial and core assessments within a changing inspection framework. National changes to court proceedings and adoption reforms place greater emphasis on timeliness. Within North Yorkshire, improvements in approaches to assessment and care planning aim to tackle drift and promote stability.</p> <p>The transformation of Children's Social Care started in April 2012 with the implementation of a new</p>	<p>Significant analysis of Children's Social Care referrals has demonstrated that approximately 300 referrals per quarter are likely to be appropriately directed to early intervention and prevention services. A pilot at the Customer Service Centre utilising an Early Intervention manager, working with the CSC designated manger, is progressing the de-escalation of these cases.</p> <p>CSC continue to achieve the 26-week target as part of the Adoption Reform programme. The local Family court Judge has been positive regarding the County Council's position and</p>

AREAS FOR IMPROVEMENT IDENTIFIED			
Original AGS Ref.	Areas for Improvement	Action Proposed	Latest Position
		<p>structure which seeks to:</p> <ul style="list-style-type: none"> <li>- create a service that puts more emphasis on earlier interventions and on work with families</li> <li>- improve outcomes for families and reduce the number of looked after children where it is safe and appropriate to do so</li> </ul> <p>Investment in Homelessness Prevention Workers, Contact Facilitators and a new Family Intervention Team have sought to maintain resources in frontline delivery that will have the greatest impact for families and deliver good outcomes for children and young people. Alongside this we lead a multi-agency Developing Stronger Families initiative which aims to work with some of the county's most troubled families. This national investment model seeks to reduce the longer term cost to the public purse.</p> <p>Performance Reward Grant ("one-</p>	<p>performance.</p> <p>The County Council is in the top ten in the country for stability of child placements. Benchmarking data also confirms that the County Council continues to have a relatively high use in-house foster carer provision which helps to contain costs within available resources. The County Council is a positive outlier on both unit costs and numbers of LAC. It also helps to meet the sufficient duty by keeping children within North Yorkshire.</p> <p>The number of Looked After Children (LAC) has reduced for four consecutive months and is now below the figure at the start of the year. Tight gatekeeping and careful management of the mix of placements are starting to deliver the aims of the transformation strategy. This is supported by a big increase in the number of cases being picked up by the Family Intervention Team (FIT) and Early Intervention.</p>



AREAS FOR IMPROVEMENT IDENTIFIED			
Original AGS Ref.	Areas for Improvement	Action Proposed	Latest Position
		<p>off") funding will be used to support mental health services and child sexual exploitation initiatives. Other non-recurring resources will be targeted to improvements in social work practice.</p> <p>The transformation strategy will continue to address safeguarding concerns with a strong and resilient management focus on the mix and cost of placements.</p> <p>Robust gatekeeping arrangements have been introduced to help monitor and manage the number of children coming into the care system. In particular:</p> <ul style="list-style-type: none"> <li>- a Family &amp; Friends Policy, introduced in April 2012, codifies and regulates the financial support for these arrangements. This policy will be reviewed for April 2014.</li> <li>- The reconfiguration of the young people's accommodation pathway is a multi-agency response to</li> </ul>	<p>Investment has been agreed for the multi-agency partnership to prevent homelessness to further promote independent living arrangements for 16 and 17 year olds. A new County Pathway manager will start in post in December 2013 improving the resilience and management oversight of this important development.</p> <p>The Child Sexual Exploitation lead is now in post and a sexual exploitation sub-group of the LSCB is being chaired by the Police.</p> <p>Following a visit from Louise Casey and the national Troubled Families team, confirmation has been received that the County Council – and partners – are delivering a multi-agency basis to achieve national and local targets. Published league tables show that North Yorkshire is 1<sup>st</sup> among its statistical neighbours and 24<sup>th</sup> nationally reflecting strong performance particularly given a</p>

AREAS FOR IMPROVEMENT IDENTIFIED			
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		deliver transitional arrangements and encourage options for independent living for young people aged 16 and 17	later start to the rollout of the programme.  The Family and Friends Policy is currently under review having regard to recent case law (Tower Hamlets).
A9	<p><b>Medium Term Financial Strategy</b></p> <ul style="list-style-type: none"> <li>• Need to ensure a coherent savings programme for 2013/14 to 2014/15.</li> <li>• Need to provide a financial plan for the period 2015/16 and beyond in order to provide a framework for future discussions about the role of the council and what it can afford to deliver.</li> </ul>	<p>The MTFFS was agreed in February 2013 ensuring a funded budget up to and including 2014/15. However recurring savings were still required so a further report (Budget 2) was approved by the Executive and County Council on 24 July. Budget 2 identified a further £5.9m of potential savings subject to consultation and further work.</p> <p>Budget 2 included an updated financial projection beyond 2014/15 based upon various factors</p>	<p>The savings contained within 2013/14 remain on track with the One Council element being circa £1.7m ahead of schedule. Proposals are also being consulted upon in line with the Budget 2 report considered by County Council on 24 July. This principally covers changes to FACS criteria, charging regime for HAS, public transport subsidy, changes to Post 16 home to school transport and changes HWRC centres.</p> <p>The Chancellor of the Exchequer is due to make his autumn statement on</p>

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		<p>including the Spending Review announced by the Chancellor of the Exchequer on 26 June 2013. Further information is now being provided post the Spending Review and will be used to refine the position for 2014/15 and beyond.</p> <p>Achievement of the savings is monitored by Management Board on a regular basis and reported to the Executive as part of the Quarterly Performance Monitoring report.</p> <p>All the key assumptions used in the current MTFS are monitored on an on-going basis. Any material variations will be reported to the Executive so that appropriate action can be taken as considered necessary.</p>	<p>5 December 2013. The Local Government Finance Settlement is expected some 2 weeks later and will include both 2014/15 and 2015/16. Whilst there remains a possibility that the 2015/16 budget will change, it will provide increased confidence for the basis of projections.</p> <p>The current MTFS assumes a savings gap / requirement of £77m during the period 2015/16 through to 2018/19. Work has been on-going over recent months in order to identify ways of delivering savings of this magnitude. The 2020 North Yorkshire Programme will set out the future of the County Council and it is clear that it will be significantly different from today's Council. The budget report due to be considered by County Council in February 2014 will clearly identify the budget for 2014/15 and will also seek to provide sufficient detail as to how the Council is going to address the significant savings requirements thereafter. A Member's Seminar is scheduled for 4 December and it is</p>

AREAS FOR IMPROVEMENT IDENTIFIED			
Original AGS Ref.	Areas for Improvement	Action Proposed	Latest Position
			suggested that the 2020 North Yorkshire Programme may well be appropriate for an Audit Committee briefing session as some point shortly thereafter.
<b>A10</b>	<p><b>Information Governance</b></p> <ul style="list-style-type: none"> <li>• Need to review actions in relation to Information Governance to date and identify further improvements.</li> <li>• Need to ensure that information security and information integrity are more generally valued by staff across the council.</li> </ul>	<p>The Corporate Information Governance Group (CIGG) will review progress at each of its meetings and has produced a further updated action plan. This action plan will be implemented and improved throughout the year.</p> <p>Mandatory training has been provided for staff on information management and compliance will be monitored on an on-going basis.</p> <p>Revised arrangements for tracking and reporting investigation of breaches have been implemented and will be reviewed with a view to improving.</p>	See separate item on agenda.

AREAS FOR IMPROVEMENT IDENTIFIED			
Original AGS Ref.	Areas for Improvement	Action Proposed	Latest Position
A11	<p><b>ICT Strategy</b></p> <ul style="list-style-type: none"> <li>A Corporate ICT Strategy needs to be developed which recognises the funding position and the councils business needs over the medium term.</li> </ul>	<p>The Microsoft roll out plan will be concluded and the functionality within it will be exploited further in order to deliver operational benefits.</p> <p>Discussions have taken place with senior managers across the council about the business needs for ICT Services. This dialogue will remain on-going and the action plan produced will be implemented, monitored and reviewed accordingly.</p> <p>The product of those discussions and ICT services work on rationalising data and systems will be brought together into a single Corporate ICT Strategy which will be presented to Management Board in 2013/14 for sign off. This will consider the best way of ensuring on-going business engagement.</p>	<p>ICT Strategy approved by Management Board. A number of high level actions have been identified but further is being undertaken to broaden the actions. An integral part of the approach is closer liaison with the rest of the organisation to ensure that ICT requirements are aligned.</p> <p>The revised approach also brings together ICT and the Change Management function within the Council. A new Assistant Director is due to start for Technology and Change on 6 January. The revised function is essential as part of the capacity to drive forward to 2020 North Yorkshire Programme.</p> <p>Again, it is suggested that the ICT Strategy and a meeting with the new Assistant Director for Technology and Change is organised for the Audit Committee at a briefing session in the near future.</p>

AREAS FOR IMPROVEMENT IDENTIFIED			
Original AGS Ref.	Areas for Improvement	Action Proposed	Latest Position
A12	<p><b>Superfast North Yorkshire</b></p> <ul style="list-style-type: none"> <li>• Need to ensure successful delivery of Superfast Broadband by BT following procurement.</li> <li>• Also need to identify opportunities to enhance the Broadband offer for the 10% of North Yorkshire who are likely to receive Broadband below Superfast speeds.</li> </ul>	<p>On-going monitoring of the roll-out by the Superfast North Yorkshire Board.</p> <p>On-going business engagement work including the LEP to support delivery of grant funded outcomes such as ERDF.</p> <p>Funding opportunities for the extra 10% to be explored with BDUK and other potential funders.</p>	<p>Work continues on the roll-out of the Superfast North Yorkshire Programme as delivered by BT. The Programme remains on track when compared with a milestone set out following procurement.</p> <p>Work continues with the LEP and through business engagement activity to ensure that business in particular benefits from the availability of Superfast Broadband. In addition, further funding of £?m has been secured by BDUK in order to address the extra 10% which are not likely to get Superfast Broadband. This has been matched by the County Council who committed £3.1m and it is hoped that ERDF funding of £?m will also be secured.</p>
A13	<p><b>Implementing revised Corporate Arrangements relating to Performance Management including</b></p> <ul style="list-style-type: none"> <li>• Greater sense of team</li> </ul>		<p>The first 2 quarters have now been</p>

AREAS FOR IMPROVEMENT IDENTIFIED			
Original AGS Ref.	Areas for Improvement	Action Proposed	Latest Position
	<p>performance throughout the Council</p> <ul style="list-style-type: none"> <li>Revised arrangements for reporting performance, alongside financial and HR issues to Members</li> <li>Any arrangements to reflect changes in national performance / inspection regimes.</li> </ul>	<p>Revised Quarterly Reports have been produced and were considered by the Executive at Quarter 1 on 20 August 2013.</p> <p>The Corporate Performance Management Group is to further progress work relating to team ownership of performance. This will involve further peer reviews and identifying necessary support to improve areas as and when identified. It will also be used to celebrate areas of good performance across the Council.</p> <p>Corporate Performance Management Group and Management Board will both be used in order to monitor the effectiveness of overall arrangements.</p>	<p>undertaken in line with the revised approach to monitoring reports. The revised approach appears to work well and as well as raising the profile on performance and its relationships with finance, customer and quality issues, is also providing useful context for development of the 2020 North Yorkshire Programme.</p> <p>Internal Peer Reviews have been carried out in order to assess the quality of performance management across the Council. The initial results have been extremely encouraging and good practise is being shared across the Council. This includes using those who demonstrate good practise as champions across the wider Council.</p> <p>The Corporate Performance Management Group is taking forward further work including</p> <ul style="list-style-type: none"> <li>Consideration of a possible external peer review through the LGA</li> <li>Trying to ensure a more simple and consistent use of language to</li> </ul>

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<b>Original AGS Ref.</b>	<b>Areas for Improvement</b>	<b>Action Proposed</b>	<b>Latest Position</b>
			aid understanding of performance management across the Council <ul style="list-style-type: none"><li>• A simplified yet effective way of carrying out service planning which fits well with the overall Council Plan</li></ul>



# Corporate Risk Register

# Appendix B

Risk Register: month 0 (Sep 2013) – detailed draft 071113

Report Date: 7<sup>th</sup> November 2013 (cpc)

Phase 1 - Identification											
Risk Number	20/47	Risk Title	20/47 - Health Integration				Risk Owner	Chief Exec	Manager	CD HAS	
Description	Failure, in the context of the changing NHS landscape, to develop effective partnerships with the emerging NHS Commissioners and other NHS organisations to achieve the necessary changes to the North Yorkshire Health economy that will provide better outcomes for patients and local communities. This failure will have a negative impact on the development of integrated services, delay the transformation of services, give rise to increased costs to the Council and cause the loss of opportunities that joint provision may have.					Risk Group	Partnerships	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures		<b>HAS:</b> H & W Board, Integration Board with Health, HASMB members on CCG Boards, Engagement in local Partnership arrangements with CCG's and Providers, plans for use of the NHS transfer (reablement) budget agreed, engagement with the North Yorkshire Review, concerns raised with NHS Chief Executive nationally, working arrangements for adult safeguarding agreed and authorised, AD T&I appointed & starts Jan 2014 <b>CYPS:</b> H&W Board, Children's Trust Board, Public Health team in place, CYPLT, principal officer working jointly with CYPS and Public Health on commissioning of the Healthy Child Programme					Effectiveness				
Probability	H	Objectives	M	Financial	H	Services	M	Reputation	M	Category	1
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	20/41 - Develop Health & Social Care performance framework in line with national expectations for all Health partners					CD HAS	Fri-31-Jan-14		0%		
Reduction	20/57 - Determine public partnership approach for delivering local Clinical Commissioning Group Healthwatch etc.					CD HAS	Thu-31-Jul-14		0%		
Reduction	20/60 - Monitor working arrangements for adult safeguarding					CD HAS	Thu-31-Jul-14		0%		
Reduction	20/245 - Produce a Governance Framework to ensure ICB can monitor all spend and changes from the Transformation and Integration Fund					CD HAS	Sat-30-Nov-13		0%		
Reduction	20/246 - Respond promptly to forthcoming DH Guidance on Joint Governance Framework and secure urgent local agreements					CD HAS	Thu-31-Jul-14		0%		
Reduction	20/909 - Continue to work with Commissioning Board local office and CCG's to develop robust change programmes for April 2014 onwards					CD HAS	Thu-31-Jul-14		0%		
Reduction	20/910 - Ensure NHS partners are fully aware of the democratic and political environment they are operating within					CD HAS	Thu-31-Jul-14		0%		
Reduction	20/967 - Actively monitor effectiveness of current controls and ensure that HAS managers are fully engaged at appropriate level and review At HASMB on a monthly basis					CD HAS	Thu-31-Jul-14		0%		
Reduction	20/1180 - Secure appropriate engagement with CCG's and PCU for commissioning children and maternity services.					Dir of Part Comm, NY&Y CCG Dir Public Health	Tue-31-Mar-15		0%		
Reduction	20/1181 - Secure engagement with the Local Area Team for the NY&H Strategic Commissioning Board for the Healthy Child Programme (0-5years).					CYPS P&C PYSSO Public Health Consultant	Tue-31-Mar-15		0%		
Reduction	20/1182 - Embed children's health priorities within the Health and Well-being Strategy and ensure strategic alignment between that strategy and the Children and Young People's Plan.					CD CYPS	Mon-31-Mar-14		0%		



## Corporate Risk Register

Risk Register: **month 0 (Sep 2013) – detailed draft 071113**

Report Date: 7<sup>th</sup> November 2013 (cpc)

<b>Reduction</b>	20/1183 - Contribute to the development and delivery of the workplan for the Health and Well-being Board in relation to children's health priorities and ensure strategic decision making in Health is influenced through alignment with the JSNA and Health planning framework.	CD CYPS	Mon-31-Mar-14		0%						
<b>Reduction</b>	20/1184 - Commission services to ensure the 5-19 Healthy Child Programmes are delivered.	CYPS P&C PYSSO	Tue-31-Mar-15		0%						
<b>Reduction</b>	20/1185 - Review children's health performance at the Children's Trust Board to monitor the impact of changes on children's health outcomes in North Yorkshire.	CD CYPS	Thu-31-Jul-14		0%						
<b>Reduction</b>	20/1186 - Work with the Director of Public Health to ensure effective integration of public health functions as they affect children and young people.	CD CYPS	Thu-31-Jul-14		0%						
<b>Reduction</b>	20/1268 - Interim Director of HAS and recruitment of HAS Director	Chief Exec	Mon-31-Mar-14		0%						
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	H	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	M	<b>Category</b>	2
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>	20/210 - Review transition plan prior to moving to next formal phase									<b>Action Manager</b>	CD HAS



# Corporate Risk Register

Risk Register: month 0 (Sep 2013) – detailed draft 071113

Report Date: 7<sup>th</sup> November 2013 (cpc)

Phase 1 - Identification											
Risk Number	20/1	Risk Title	20/1 - Funding Challenges				Risk Owner	Chief Exec		Manager	CD SR
Description	Inadequate funding available to the County Council to discharge its statutory responsibilities and to meet public expectation for the remainder of the decade resulting in legal challenge, unbalanced budget and public dissatisfaction					Risk Group	Resources		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Existing MTFS, Members Budget seminars, modelling carried out on implications of CSR and other funds, agreed Budget 2, 2020 North Yorkshire Programme & constituent elements including service reviews					Effectiveness			
Probability	H	Objectives	H	Financial	H	Services	H	Reputation	H	Category	1
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	20/42 - Ongoing review of existing MTFS including assurance on existing budget savings					CD SR	Sun-31-Aug-14		0%		
Reduction	20/43 - Carry out modelling on implications of external funding levels					CD SR	Sun-31-Aug-14		0%		
Reduction	20/44 - Further exploration (including Members) on savings opportunities identified in line with the 2020 North Yorkshire Plan					All Mgt Board	Sun-31-Aug-14		0%		
Reduction	20/45 - Lobby MPs and Govt regarding the interests of the County Council					CD SR	Sun-31-Aug-14		0%		
Reduction	20/46 - Ensure effective consultation/communication with staff, public and Members					All Mgt Board	Sun-31-Aug-14		0%		
Reduction	20/913 - Research and review of ways of working and innovation to meet service demands as part of service reviews (2020 NY)					All Mgt Board	Sun-31-Aug-14		0%		
Reduction	20/914 - Review of priorities with a view to reducing &/or re-allocating funding as part of 2020 North Yorkshire					All Mgt Board	Sun-31-Aug-14		0%		
Reduction	20/972 - Agree Plan with CCGs through the Health and Well Being Board in order to secure an integrated transformation fund to support County Council services and spending					CD HAS	Mon-31-Mar-14		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	H	Financial	H	Services	M	Reputation	M	Category	2
Phase 5 - Fallback Plan											
Fallback Plan	20/504 - Further fundamental review in order to discharge statutory responsibilities								Action Manager		All Mgt Board



# Corporate Risk Register

Risk Register: month 0 (Sep 2013) – detailed draft 071113

Report Date: 7<sup>th</sup> November 2013 (cpc)

Phase 1 - Identification											
Risk Number	20/207	Risk Title	20/207 - 2020 North Yorkshire Change Programme				Risk Owner	Chief Exec		Manager	All Mgt Board
Description	Failure to produce and implement the 2020 North Yorkshire Plan/Change Programme resulting in an inability to deliver statutory obligations across the Council and deliver a balanced budget					Risk Group	Strategic		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures		Service reviews underway, resources being identified to support service reviews, 2020 North Yorkshire Plan being worked up, external critical support being identified, Members workshops & political group sessions in train, briefings of Cabinet, regular Mgt Board discussions, Mgt Board to sit as Programme Board, AD Tech & Change appointed to programme manage 2020 North Yorkshire (starts Jan 2014), staff messages, opportunities to involve staff further, middle manager sessions with Chief Exec, ongoing discussions with community sector re community enhancement						Effectiveness			
Probability	M	Objectives	H	Financial	H	Services	H	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	20/52 - Governance arrangements to be worked up and implemented					CD SR	Tue-31-Dec-13		0%		
Reduction	20/241 - Continue to develop and deliver an ongoing communication and engagement plan					CSD ACE BS	Mon-30-Jun-14		0%		
Reduction	20/242 - Ongoing review of capacity and approach to deliver change management to support services throughout the authority					CD SR CSD ACE BS	Mon-30-Jun-14		0%		
Reduction	20/243 - Consideration of peer review					Chief Exec	Mon-31-Mar-14		0%		
Reduction	20/251 - Approve and implement the ICT strategy					CD SR	Mon-30-Jun-14		0%		
Reduction	20/261 - Implement the modernising of the finance function programme					CD SR	Mon-30-Jun-14		0%		
Reduction	20/1167 - Blueprint of 2020 North Yorkshire to be produced for Management Board to consider					Chief Exec	Tue-31-Dec-13		0%		
Reduction	20/1168 - Resources to be identified in order to outline and then to implement blue print					CD SR	Tue-31-Dec-13		0%		
Reduction	20/1169 - Savings to be attributed to areas of activity					CD SR	Fri-28-Feb-14		0%		
Reduction	20/1170 - Ways in which staff are to be involved to be worked up					CSD ACE BS	Tue-31-Dec-13		0%		
Reduction	20/1171 - Critical friend / friends to be identified in order to deliver the blue print					All Mgt Board	Thu-31-Jul-14		0%		
Reduction	20/1172 - Ongoing restructure of Business Support and administrative service staff					CSD ACE BS	Mon-30-Jun-14		0%		
Reduction	20/1175 - Carry out initial development work with voluntary and community sector on options and outline plan regarding new ways of working					CSD AD PP	Sat-30-Nov-13		0%		
Reduction	20/1176 - Consider staffing resource and impact upon the workforce of the future					CSD ACE BS	Mon-30-Jun-14		0%		



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<b>Reduction</b>	20/1177 - Identify potential ways to generate additional income	All Mgt Board	Thu-31-Jul-14		0%						
<b>Reduction</b>	20/1197 - Further development of Behaviour and Skills framework	CSD ACE BS	Mon-30-Jun-14		0%						
<b>Reduction</b>	20/1198 - Critical friend / friends to be identified in order to deliver the blue print	All Mgt Board	Thu-31-Jul-14		0%						
<b>Reduction</b>	20/1199 - Develop approach to retention of key staff and succession planning	All Mgt Board	Tue-31-Dec-13		0%						
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	M	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	2
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>	20/529 - Reprioritisation of savings, further consideration of structures and ways of working									<b>Action Manager</b>	All Mgt Board



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Phase 1 - Identification												
Risk Number	20/387	Risk Title	20/387 - Inspection Outcomes				Risk Owner	Chief Exec		Manager	CD CYPS	
Description	Failure to avoid adverse outcomes from statutory inspections of provision of local authority safeguarding, schools and settings, children's centres, adult learning, school improvement services, adoption and fostering, looked after children and children's homes resulting in reputational damage, school closure or centrally imposed interventions, disruption of children, requirement for additional resources					Risk Group	Performance		Risk Type			
Phase 2 - Current Assessment												
Current Control Measures			Systematic monitoring, regular termly monitoring in Schools and Settings, intervention in inverse proportion to success, use of a repertoire of interventions, including local and national leaders in education as appropriate. Service Planning focussing on improvement, monitor/evaluate current support, timely use of statutory powers, early identification and rigorous response to schools causing concern. "Annual conversations" with Children's Centres, regular monitoring of data, programme of self-evaluation. Ofsted prep SMT sub group, proactive approach to improvement, seconded Manager, CD CYPS oversees inspection readiness, partnership inspection reference group established,					Effectiveness				
Probability	M	Objectives	M	Financial	M	Services	H	Reputation	H	Category	2	
Phase 3 - Risk Reduction Actions												
						Action Manager	Action by	Completed	%			
Reduction	20/1201 - Improve knowledge and awareness of Inspection Frameworks					CYPS AD CSC	Mon-30-Jun-14		0%			
Reduction	20/1202 - Complete a self assessment, produce action plans based on the self assessment and ensure pre inspection readiness by carrying out identified actions, monitoring outcomes and assessing their impact					CYPS AD CSC CYPS AD P&C CYPS AD Q&I	Mon-30-Jun-14		0%			
Reduction	20/1203 - Continual review of policies and procedures and update as required to ensure new guidance and procedures are embedded					CYPS AD CSC	Mon-30-Jun-14		0%			
Reduction	20/1204 - Ensure consultation with and participation of service users to inform service delivery and design					CYPS AD CSC	Thu-31-Jul-14		0%			
Reduction	20/1205 - Implement post Ofsted inspection plans as appropriate					CYPS AD CSC CYPS AD P&C CYPS AD Q&I	Thu-31-Jul-14		0%			
Reduction	20/1206 - Provision of comprehensive data set to CCSMs, together with training to enable them to understand performance and develop appropriate responses					CYPS AD P&C	Thu-31-Oct-13		0%			
Reduction	20/1207 - Develop proposals for collaborative working between schools that are in keeping with the outcome of the Schools Commission					CYPS AD P&C	Tue-30-Sep-14		0%			
Reduction	20/1208 - Review and revise the LA role and systems to support improvement of schools and settings (School Improvement Commission)					CYPS AD Q&I	Tue-31-Dec-13		0%			
Reduction	20/1209 - Ensure continuation of effective delivery of service to schools and settings whilst the national picture of provision of school improvement services is changing					CYPS AD Q&I	Thu-31-Jul-14		0%			
Reduction	20/1210 - Ensure accurate school self evaluation and effective school development plans, on going.					CYPS AD Q&I	Sun-30-Nov-14		0%			
Reduction	20/1211 - Further develop competencies of Advisers, Consultants and team, through effective performance management.					CYPS Q&I PASP	Thu-31-Jul-14		0%			



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<b>Reduction</b>	20/1212 - Commission external support as required				CYPS AD Q&I	Thu-31-Jul-14		0%			
<b>Reduction</b>	20/1213 - Take appropriate action where schools are likely to become unsustainable				CYPS AD P&C	Tue-30-Sep-14		0%			
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	M	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	2
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>								<b>Action Manager</b>			



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Phase 1 - Identification											
<b>Risk Number</b>	20/45	<b>Risk Title</b>	20/45 - Waste Strategy			<b>Risk Owner</b>	Chief Exec		<b>Manager</b>	CD BES	
<b>Description</b>	Failure to deliver the Waste Strategy				<b>Risk Group</b>	Performance		<b>Risk Type</b>			
Phase 2 - Current Assessment											
<b>Current Control Measures</b>	Strategic group, officer group (strat and proc), PFI group, project plan and indicators, adopted waste strategy, adopted local plan (waste), strategy for sites and planning developed, business case approved, approval of Treasury (FBC), Contract awarded, waste flow and MTFS position monitored, monitoring of sites and planning strategies, IAA with CYC signed, ongoing close liaison with CYC, Close liaison with CYC to agree decision making process. CYC and NYCC Council approvals to award PFI Contract, planning advisor, Contractor appointed, planning permission granted, soft market testing of interim solutions carried out							<b>Effectiveness</b>			
<b>Probability</b>	M	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	L	<b>Reputation</b>	H	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>	<b>%</b>		
<b>Reduction</b>	20/35 - Carry out Technical review including engineering to minimise long term contracts costs, demonstrate value compared with alternative options				BES AD W&CS		Mon-31-Mar-14		0%		
<b>Reduction</b>	20/37 - Continue to ensure sufficiency of budget provision and strategy for Waste PFI (ongoing review)				Waste Strategy Finance Lead		Sat-31-May-14		0%		
<b>Reduction</b>	20/38 - Progress project funding with Amey Cespa and fully explore all alternative and options				Waste Strategy Finance Lead		Mon-31-Mar-14		0%		
<b>Reduction</b>	20/39 - Continue to do soft market testing and scope options for interim solutions assuming delays in the long term				BES AD W&CS		Sat-31-May-14		0%		
<b>Reduction</b>	20/40 - Make representations to Government and consider judicial review (as appropriate) to seek to recover PFI credits or compensation				CSD ACE LDS		Fri-31-Jan-14		0%		
<b>Reduction</b>	20/891 - Obtain Members' sign off based on detailed VFM assessment and details of the business case				CD BES		Mon-31-Mar-14		0%		
<b>Reduction</b>	20/980 - Procurement &/or delivery of agreed front end facilities				BES AD W&CS		Sat-31-May-14		0%		
<b>Reduction</b>	20/981 - Continual review of waste flow to inform future strategy (ongoing)				CD BES		Sat-31-May-14		0%		
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	L	<b>Reputation</b>	M	<b>Category</b>	3
Phase 5 - Fallback Plan											
<b>Fallback Plan</b>	20/206 - Landfill, pay the fines, media management, delay and/or review procurement strategy							<b>Action Manager</b>	CD BES		



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Phase 1 - Identification											
<b>Risk Number</b>	20/332	<b>Risk Title</b>	20/332 - Superfast North Yorkshire				<b>Risk Owner</b>	Chief Exec	<b>Manager</b>	CEX NYnet	
<b>Description</b>	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					<b>Risk Group</b>	Contracts	<b>Risk Type</b>			
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Regular Connecting North Yorkshire Board and NYnet Board meetings, Connecting North Yorkshire vision and strategy fully managed by NYnet, community co-ordinator network established, existing pilots, community schemes and lessons learned, website and Connecting North Yorkshire updates developed as part of communications approach, stakeholders engaged (LGNY, 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, Demand Stimulation roll out plan created, CNY Board arrangements reviewed and revised					<b>Effectiveness</b>			
<b>Probability</b>	M	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
<b>Reduction</b>	20/250 - Continue to review Community Internet Service Provider capacity and business models to test sustainability					<b>Action Manager</b>	CEX NYnet	<b>Action by</b>	Tue-31-Dec-13	<b>Completed</b>	0%
<b>Reduction</b>	20/879 - CNY Board (or revised format) continues to meet regularly – NYnet is managing agent for delivery purposes					<b>Action Manager</b>	CEX NYnet	<b>Action by</b>	Mon-30-Jun-14	<b>Completed</b>	0%
<b>Reduction</b>	20/880 - Continue to regularly monitor roll-out plan with BT and Business Support and instigate escalation arrangements if necessary					<b>Action Manager</b>	CEX NYnet	<b>Action by</b>	Wed-31-Dec-14	<b>Completed</b>	0%
<b>Reduction</b>	20/881 - Roll out Community Schemes using the framework procurement process					<b>Action Manager</b>	CEX NYnet	<b>Action by</b>	Tue-30-Jun-15	<b>Completed</b>	0%
<b>Reduction</b>	20/882 - Continue discussions with BT UK/ERDF for further funding re 10% Schemes					<b>Action Manager</b>	CEX NYnet	<b>Action by</b>	Tue-31-Dec-13	<b>Completed</b>	0%
<b>Reduction</b>	20/884 - Continue to engage County and District members and members of the public through seminars and scrutiny					<b>Action Manager</b>	CEX NYnet	<b>Action by</b>	Mon-30-Jun-14	<b>Completed</b>	0%
<b>Reduction</b>	20/1160 - CNY Board arrangements to be reviewed and revised					<b>Action Manager</b>	CSD ACE LDS	<b>Action by</b>	Thu-31-Oct-13	<b>Completed</b>	100%
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	3
Phase 5 - Fallback Plan											
<b>Fallback Plan</b>	20/595 - Rethink community engagement and overall approach								<b>Action Manager</b>		CEX NYnet



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Phase 1 - Identification											
Risk Number	20/331	Risk Title	20/331 - Schools Organisation: Place Planning and Funding				Risk Owner	Chief Exec	Manager	CD CYPS	
Description	Failure to assess and manage the combined effects of changes in the national school policy and funding framework, demographics and national and local political circumstances, resulting in a fragmentation of the network of services for children, growing numbers of unsustainable and/or failing schools, increased public dissatisfaction, and loss of confidence in the County Council as local authority.					Risk Group	Strategic	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures		Consistent monitoring of forecast numbers. Links with District Councils and developers over major housing developments (including ISDG work). Small Schools policy, Federation guidance, Cross-directorate "Schools Causing Concern" approach. Work with the Schools Forum, Keep up to date with current publications, email, etc. Reg review of DfE and other critical websites. Liaison with other LAs. Early assessment of resource implications on new development. Advocacy of NYCC case for funding, new procedures for grant & award acceptance, involvement in appropriate national conferences, participation in DfE priorities when possible					Effectiveness				
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	20/871 - Carry out modelling of a range of scenarios to understand implications of funding and demographic changes					AD SR & Prop CYPS AD P&C	Mon-31-Mar-14		70%		
Reduction	20/872 - Continue to work with and use effective lobbying channels					AD SR & Prop	Mon-31-Mar-14		0%		
Reduction	20/873 - Assess likely capital implications of providing school places and develop strategy for funding					AD SR & Prop CYPS AD P&C	Mon-31-Mar-14		0%		
Reduction	20/875 - Develop a framework for prioritisation of school organisation issues					AD SR & Prop CYPS AD P&C	Sat-30-Nov-13		80%		
Reduction	20/876 - Provision of briefings for elected Members and Schools Forum to enable them to see the range of implications					CYPS AD P&C	Thu-31-Jul-14		0%		
Reduction	20/877 - Develop proposals for collaborative working between schools that are in keeping with the outcome of the Schools Commission					CYPS AD P&C	Tue-30-Sep-14		0%		
Reduction	20/878 - Take appropriate action where schools are likely to become unsustainable					CYPS AD P&C	Tue-30-Sep-14		0%		
Reduction	20/1196 - Provide appropriate advice to management board in the context of changing council developments to ensure that schools continue to receive specialist capital advice firmly embedded in Children and Young People's services					CYPS P&C SPM	Tue-31-Dec-13		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	M	Category	3
Phase 5 - Fallback Plan											
Fallback Plan								Action Manager			



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Phase 1 - Identification											
<b>Risk Number</b>	20/334	<b>Risk Title</b>	20/334 - Economic Development in North Yorkshire				<b>Risk Owner</b>	Chief Exec	<b>Manager</b>	BES AD EPU	
<b>Description</b>	Failure to develop the North Yorkshire economy resulting in lack of growth in employment & impact on future County Council funding caused by the reduced growth in business rates					<b>Risk Group</b>	Strategic	<b>Risk Type</b>			
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			LEP - supporting small businesses to grow, maximising the benefit to local economy from business growth, being a strong voice for businesses with Government Infrastructure Delivery Steering Group - NYCC wide co-ordination of development needs linked to District plans Broadband - investment secured					<b>Effectiveness</b>			
<b>Probability</b>	M	<b>Objectives</b>	L	<b>Financial</b>	H	<b>Services</b>	L	<b>Reputation</b>	M	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>	<b>%</b>		
<b>Reduction</b>	20/915 - Develop the strategic economic plan to maximise investment from Government and EU to stimulate growth					BES AD EPU	Mon-30-Jun-14		0%		
<b>Reduction</b>	20/916 - Deliver the economic plan					BES AD EPU	Tue-31-Mar-20		0%		
<b>Reduction</b>	20/917 - Secure funding from Government and EU					BES AD EPU	Mon-31-Aug-15		0%		
<b>Reduction</b>	20/918 - Ensure LEP Secretariat is fit for purpose					BES AD EPU	Mon-31-Aug-15		0%		
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	M	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	L	<b>Reputation</b>	L	<b>Category</b>	4
Phase 5 - Fallback Plan											
<b>Fallback Plan</b>	20/596 - Review effectiveness of LEP & position of EPU service, and consider level of investment in economic development							<b>Action Manager</b>			
								BES AD EPU			



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Phase 1 - Identification											
<b>Risk Number</b>	20/8	<b>Risk Title</b>	20/8 - Major Emergencies in the Community				<b>Risk Owner</b>	Chief Exec		<b>Manager</b>	Chief Exec
<b>Description</b>	Failure to plan, respond and recover effectively to major emergencies in the community resulting in risk to life and limb, impact on statutory responsibilities, impact on financial stability and reputation					<b>Risk Group</b>	Performance		<b>Risk Type</b>		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>		NYLRF, experience and resources of partners, existing plans incl public health (training and exercises), EPU, partnership working with District Councils, community resilience, silver response in the County Council major incident plan tested						<b>Effectiveness</b>			
<b>Probability</b>	L	<b>Objectives</b>	L	<b>Financial</b>	H	<b>Services</b>	L	<b>Reputation</b>	H	<b>Category</b>	3
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>	<b>%</b>		
<b>Reduction</b>	20/249 - Test effectiveness and robustness of emergency plans relating to the public health of the NY population					Chief Exec	Mon-31-Mar-14		0%		
<b>Reduction</b>	20/970 - Continue to ensure effective co-ordination and communication with County and District/Borough Council services & NYLRF in light of reduction in resources					Chief Exec	Sun-31-Aug-14		0%		
<b>Reduction</b>	20/971 - Continue to ensure effective and efficient processes are embedded amongst all partners to prioritise workstreams (incl. plans, training and exercises)					Chief Exec	Sun-31-Aug-14		0%		
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	L	<b>Financial</b>	H	<b>Services</b>	L	<b>Reputation</b>	M	<b>Category</b>	3
Phase 5 - Fallback Plan											
									<b>Action Manager</b>		
<b>Fallback Plan</b>	20/207 - Review and prioritise resources dependent on nature and impact of event (inc effective media management)							Chief Exec			



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Phase 1 - Identification											
<b>Risk Number</b>	20/389	<b>Risk Title</b>	20/389 - Health and Safety				<b>Risk Owner</b>	Chief Exec		<b>Manager</b>	CD SR
<b>Description</b>	Major Corporate Health and Safety failure resulting in injuries, claims, reputational and service delivery impact and possible prosecution					<b>Risk Group</b>	Legislative		<b>Risk Type</b>		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>		General:- HSRM Service Plan feeding into Directorate Action Plans, H&S team, Corporate H&S Policy, Corporate and Directorate H&S procedures, intranet and cyps.info sites, Directorate RM groups, RM Working groups, H&S Champions and lead officers, reporting on a regular basis, on-going H&S risk assessment, training, monitoring and audit, corporate H&S training matrix							<b>Effectiveness</b>		
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	3
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>	<b>%</b>	
<b>Reduction</b>	20/1187 - Continue delivery of the programme of H&S monitoring						CSD SR HoHSRM	Wed-30-Apr-14		0%	
<b>Reduction</b>	20/1188 - Develop and implement the directorate H&S action plans and report performance						CSD SR HoHSRM	Wed-30-Apr-14		0%	
<b>Reduction</b>	20/1189 - Update online health and safety training materials (presently with Learning and Development)						CSD SR HoHSRM	Tue-31-Dec-13		0%	
<b>Reduction</b>	20/1190 - Promote directorate programmes of health & safety risk assessment and monitor completion						CSD SR HoHSRM	Wed-30-Apr-14		0%	
<b>Reduction</b>	20/1200 - Review of Health and Safety service						AD SR & Prop	Sun-31-Aug-14		0%	
<b>Reduction</b>	20/1267 - Revision of the corporate H&S policy						CSD SR HoHSRM	Wed-30-Apr-14		0%	
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	3
Phase 5 - Fallback Plan											
									<b>Action Manager</b>		
<b>Fallback Plan</b>	20/628 - Liaise with HSE, media management, implement fatal/serious injury response guide									CSD SR HoHSRM	

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Phase 1 - Identification											
Risk Number	20/49	Risk Title	20/49 - Organisational Performance Management				Risk Owner	Chief Exec	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 and reduced ability to meet savings requirements					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	M	Reputation	M	Category	4
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	20/247 - Ensure that there is a good understanding of performance across all teams through use of team training / discussion and plain English performance language document and line of sight performance reporting					CD SR	Tue-31-Dec-13		0%		
Reduction	20/890 - Review of service performance planning (SPP) approach					AD SR & Perf	Tue-31-Dec-13		0%		
Reduction	20/975 - Revise Corporate Performance Management Framework					AD SR & Perf	Tue-31-Dec-13		0%		
Reduction	20/976 - Ongoing use of benchmarking data to identify relative performance ( where available)					All Mgt Board	Tue-31-Dec-13		0%		
Reduction	20/977 - Implementation of team / service based performance matrix which includes assessment of cost drivers					CD SR	Tue-31-Dec-13		0%		
Reduction	20/1161 - Implement a plain English performance development language for the council					AD SR & Perf	Tue-31-Dec-13		0%		
Reduction	20/1162 - Effectively market performance management across the council through the development and delivery of regular line of sight visibility for daily activities contribution to performance outcomes					AD SR & Perf	Tue-31-Dec-13		0%		
Reduction	20/1164 - Identify and align other key strands relating to performance, such as business intelligence, training, behaviours & skills, risk management, customer insight, consultation & research, learning and innovation – first milestone a report to MB setting recommendations in line with future council planning. Council wide					AD SR & Perf	Tue-31-Dec-13		0%		
Reduction	20/1165 - Develop future shape of performance management support; options of central team, directorate specialist teams, combinations, hub and spoke, etc. Develop this through CPMG and directorate management teams and report to MB					AD SR & Perf	Tue-31-Dec-13		0%		
Reduction	20/1166 - Implement scorecard / performance reporting across all teams covering 4 key elements of finance, customer, processes, learning.					AD SR & Perf	Tue-31-Dec-13		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	M	Category	5
Phase 5 - Fallback Plan											
Fallback Plan	20/533 - Fundamental review of approach						Action Manager				
							CD SR				

