

# NORTH YORKSHIRE COUNTY COUNCIL

## AUDIT COMMITTEE

1 December 2016

### RISK MANAGEMENT – PROGRESS REPORT

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

#### 1.0 PURPOSE OF THE REPORT

- 1.1 To receive details of the updated Corporate Risk Register.
- 1.2 To note progress on other Risk Management related matters

#### 2.0 BACKGROUND

- 2.1 According to the Terms of Reference of the Audit Committee, its role in risk management is:
  - (i) to assess the effectiveness of the authority's risk management arrangements and
  - (ii) to review progress on the implementation of risk management throughout the authority.
- 2.2 Following a recommendation by this Committee, the Leader of the County Council and the Executive Member for Central Services formally approved a revised Corporate Risk Management Policy on 3 March 2015 with a provision that it will be reviewed and updated every three years.
- 2.3 Regular reports to this Committee therefore cover the implementation of the Policy and associated Strategy as well as other related risk management matters in order to fulfill this role.

#### 3.0 CORPORATE RISK REGISTER

- 3.1 The Corporate Risk Register (CRR) is fully reviewed every year and updated by the Chief Executive and Management Board in October/November. A six monthly review is then carried out in April.
- 3.2 An annual update of the Corporate Risk Register was carried out in November – see attached at **Appendix A**. This involved reviewing the risks, risk controls, risk reductions and risk rankings that had been identified for each of the risks and making amendments to the Register where necessary.

3.3 The significant amendments that were made to the Register since last time are as follows:

#### **New risks**

- Schools Organisation Policy and Place Planning
- Growth

#### **Deleted risks**

- Performance Management – this risk is no longer considered to be at the corporate level although it is recognised that there is more to be done.
- Educational Outcomes – this risk has been taken off as approximately 90% of North Yorkshire schools are good or outstanding. It is still considered at Directorate level.
- Major Emergencies in the Community – this risk has been taken off the corporate risk register as it is felt that the risk is managed well and planning for emergencies is in place. It is still considered at Directorate level.

#### **Significantly Changed Risks**

- 2020 North Yorkshire Change Programme and Beyond – the ranking of this risk has worsened from 2:3 to 1:2.
- Economic Development and Opportunities for Devolution in North Yorkshire – the ranking has worsened from 2:5 to 1:4.

The rankings of all the remaining risks remained the same (as shown on the summary in the left hand column of **Appendix A**). However please see the table at the bottom of **Appendix A** for an explanation of the left hand column.

3.4 To assist Members interpret **Appendix A**

- Risks are identified by Management Board during a prep meeting and workshop
- Each risk has then to be ranked based on the following:
  - existing risk controls in place
  - probability of the risk occurring (based on existing controls)
  - impact of the risk occurring (based on existing controls)
  - further risk controls which may reduce current probability or impact
- The prioritisation system follows a fairly traditional risk evaluation approach in that the **probability** and **severity** of risks is measured using High, Medium and Low categories

- However, to facilitate the assessment of the severity of each risk this is done in relation to 4 distinct **impact areas**:-
  - failure to meet key service **objectives** and standards – reflecting current service plans
  - **financial** impact
  - **service** delivery
  - loss of image or **reputation**
  
- As each risk is ranked with reference to current controls and then future controls, the risk prioritisation system can compute a “score” in the range of 1 to 5
  - 1 and 2 being a ‘red’ risk
  - and 4 being an ‘amber’ risk and
  - 5 being a ‘green’ risk

One of the key things to look for in the Register is the movement of the score (described as Classification on the summary in **Appendix A**) as between the ‘Pre’ (i.e. present stage) and ‘Post’ (i.e. after risk mitigations are in place). For certain risks, however, this does not change as the risk mitigations cannot prevent the event (e.g. severe flood) but can address/reduce its impact.

#### **4.0 TENDER FOR INSURANCES**

- 4.1 The annual insurance renewals for the County Council take place on 1 October each year. The previous contract period expired this year and so a procurement exercise was carried out. The tender process that was used was the OJEU Process – Open Procedure.
- 4.2 The following insurances and associated claims handling service were procured:
- Casualty Insurance (including employer’s liability, public liability, official’s indemnity and professional indemnity), plus associated claims handling.
  - Property (including material damage for buildings and contents and business interruption – additional expenses).
  - Motor (comprehensive cover), plus associated motor liability claims handling.
  - Personal Accident and Travel (including business travel and school journey insurance).
  - Engineering Inspection (not insurance).

4.3 The outcome of the exercise in terms of type of cover, excess and insurer is as follows:

- Casualty (£250,000 excess)
- Motor (£75,000 excess reduced from £100,000)
- Property (£100,000 excess)
- Personal Accident/Travel (mainly purchased for schools as part of Traded Service)
- Engineering inspections (not insurance)
- RMP/QBE
- Travelers/Top Mark
- Zurich Municipal
- RMP/AIG
- RMP/HSB

4.4 The total premium net of 10% Insurance Premium Tax is approximately £1,329,470. The total anticipated savings net of Insurance Premium Tax is £104,416. Some of the saving on the Property insurance is attributable to a reduction in the sum insured for buildings. This is due to schools converting to academies. However most of the saving has been reduced due to an increase in Insurance Premium Tax from 6% to 10% with effect from 1 October 2016.

## 5.0 RECOMMENDATIONS

That the Committee:

- (i) notes the updated Corporate Risk Register (**Appendix A**).
- (ii) notes the position on other Risk Management related matters

**GARY FIELDING**  
**Corporate Director – Strategic Resources**

County Hall, Northallerton

December 2016




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**Background papers:** None

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2016) – summary**  
 Report Date: 10<sup>th</sup> November 2016 (pw)

Identity			Person		Classification												Fallback Plan			
Change	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		
	<b>20/207 - 2020 North Yorkshire Change Programme and beyond</b>	Failure to successfully implement the Programme and Modern Council ways of working resulting in inability to meet financial savings requirements, sub-optimal decision making and poorer quality of services.	Chief Exec	CSD SR AD T&C	H	H	H	H	H	<b>1</b>	13	31/12/2016	M	H	H	H	H	<b>2</b>	Y	All Mgt Board
	<b>20/1 - Funding Challenges</b>	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	Chief Exec	CD SR	H	H	H	H	H	<b>1</b>	7	31/01/2017	M	H	H	M	M	<b>2</b>	Y	All Mgt Board
	<b>20/194 - Major Failure due to Quality and/or Economic Issues in the Care Market</b>	Major failure of provider/key providers results in the Directorate being unable to meet service user needs. This could be caused by economic performance or resource capabilities including recruitment and retention. The impact could include loss of trust in the Care Market, increased budgetary implications and issues of service user safety.	CD HAS	HAS AD Q&E	H	M	H	M	H	<b>1</b>	14	31/10/2016	H	M	M	M	M	<b>2</b>	Y	HAS AD Q&E
<b>- new -</b>	<b>20/205 - Schools Organisation Policy and Place Planning</b>	Failure to assess and manage the combined effects of changes in the national school policy and funding framework, demographics (both rising and falling as a result of housing market changes) 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, insufficient school places, fragmentation due to academisation, increased public dissatisfaction, and loss of confidence in the County Council as local authority.	Chief Exec	CD CYPS	H	M	H	M	M	<b>1</b>	12	31/07/2017	M	M	H	M	M	<b>2</b>	Y	CD CYPS

# Corporate Risk Register

# Appendix A


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 Report Date: 10<sup>th</sup> November 2016 (pw)

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Change	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		
◀▶	<b>20/187 - Information Governance</b>	Ineffective information governance arrangements lead to unacceptable levels of unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to FoI requests, and inability to locate key data upon which the Council relies resulting in loss of reputation, poor decision making, fine, etc	Chief Exec	CD SR	H	M	M	M	H	1	6	31/12/2016	M	L	M	L	M	4	Y	CD SR
▲	<b>20/334 - Opportunities for Devolution in North Yorkshire and Consideration of a Combined Authority</b>	Failure to take advantage of Devolution opportunities in North Yorkshire resulting in reduced investment and impact on the growth and jobs across the whole of North Yorkshire.	Chief Exec	CD BES	H	M	H	M	M	1	4	31/12/2016	M	L	M	M	L	4	Y	Chief Exec CD BES
◀▶	<b>20/47 - Partnership and Integration with the NHS</b>	Failure to agree outline integration plans by 2017 leading to full integration plans by 2020 with the NHS, in the context of managing 3 ST Plans and failure to develop and implement new models of care. This could result in a negative impact on Devolution proposals, fragmentation of NY partnership planning and delivery arrangements, increased costs and inconsistent / poorer service delivery to local people	Chief Exec	CD HAS	M	M	H	M	M	2	22	31/10/2016	M	M	H	M	M	2	Y	CD HAS
◀▶	<b>20/189 - Safeguarding Arrangements</b>	Failure to have a robust Safeguarding service in place results in risk to vulnerable children, adults and families and not protecting them from harm.	Chief Exec	CD HAS CD CYPS	M	H	M	M	H	2	21	31/10/2016	L	H	M	M	H	3	Y	CD CYPS CD HAS

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Identity			Person		Classification												Fallback Plan			
Change	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		
- new -	20/206 - Growth	Failure to deliver the ambition of Sustainable Economic Growth through the delivery of the right housing, transport, and connectivity infrastructure, whilst protecting the outstanding environment and heritage, and within the context of two-tier local government structure and wider macro-economic policy and processes. This results in an inability to attract, retain and grow businesses, increase the house building rate, raise living standards and increase spending power.	Chief Exec	CD BES	M	M	H	H	H	2	5	31/12/2016	M	M	M	M	M	4	Y	CD BES
	20/389 - Health and Safety	Major Corporate Health and Safety failure resulting in injuries, claims, reputational and service delivery impact and possible prosecution	Chief Exec	CD SR	L	M	M	M	H	3	7	31/03/2017	L	M	M	M	H	3	Y	CSD SR HoH SRM

# Corporate Risk Register

# Appendix A

Risk Register: month 0 (November 2016) – detailed

Report Date: 10<sup>th</sup> November 2016 (pw)

Phase 1 - Identification											
<b>Risk Number</b>	20/207	<b>Risk Title</b>	20/207 - 2020 North Yorkshire Change Programme and beyond				<b>Risk Owner</b>	Chief Exec	<b>Manager</b>	CSD SR AD T&C	
<b>Description</b>	Failure to successfully implement the Programme and Modern Council ways of working resulting in inability to meet financial savings requirements, sub-optimal decision making and poorer quality of services.					<b>Risk Group</b>	Strategic	<b>Risk Type</b>	CS 15/11		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>		2020 North Yorkshire Programme Plan in place and regularly reviewed/updated; Members workshops & political group sessions completed; briefings of Cabinet; regular Mgt Board/Programme Board meetings; staff communication constantly reviewed via intranet and new 'all staff' e mail Directorate and cross cutting themes programme board continue to meet and follow the governance structure; quarterly meetings with finance ADs and programme managers to align savings against programme budgets; Oracle improvements; Behaviour & skills framework reviewed; LGA corporate peer review; review carried out of governance and areas of future focus for Programme Board; all major change programmes are captured within this Programme to better manage dependencies and resources;						<b>Effectiveness</b>			
<b>Probability</b>	H	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	1
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>			
<b>Reduction</b>	15/54 - Regularly review the ICT strategy in light of changes in the organisation both before and after 2020 (ongoing)					CSD SR AD T&C		Thu-31-Aug-17			
<b>Reduction</b>	15/245 - Embed modern council principles through engagement and delivery of Service Operation Model (SOM), implementation of technology, property and OD measures, and a robust review process to measure impact and improvement.					CSD SR T&C SPM (JB)		Sun-30-Apr-17			
<b>Reduction</b>	15/394 - Review and implement action plan following peer review					AD SR (BES/CS) & Perf CSD SR AD T&C		Fri-31-Mar-17			
<b>Reduction</b>	15/406 - Continue to embed cultural change and new ways of working (transformational rather than as a savings programme)					CSD SR AD T&C		Tue-31-Mar-20			
<b>Reduction</b>	15/429 - Continually review capacity and capability within services and the impact upon the workforce of the future					CSD SR AD T&C		Thu-31-Aug-17			
<b>Reduction</b>	15/831 - Continue to monitor delay of Programmes and the effect on benefits (ongoing)					CSD SR AD T&C		Thu-31-Aug-17			
<b>Reduction</b>	15/837 - Continue to implement the Stronger Communities programme to mitigate against proposed budget cuts, support communities to take over local services, and promote community and individual resilience (ongoing)					CSD AD PP		Thu-31-Aug-17			
<b>Reduction</b>	20/250 - Implement the delivery plan for rationalisation of property in line with new ways of working including further refining of plan and securing resources for Northallerton and delivery of plan in Scarborough					AD SR (CYPS) & Prop		Thu-31-Aug-17			
<b>Reduction</b>	20/403 - Carry out monthly monitoring of communications and engagement plan including key messages and themes (ongoing)					CSD HoC		Thu-31-Aug-17			
<b>Reduction</b>	20/405 - Continue with the implementation plan for Customer Theme in line with new ways of working					Chief Exec		Thu-31-Aug-17			





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Risk Register: **month 0 (November 2016) – detailed**

Report Date: 10<sup>th</sup> November 2016 (pw)

<b>Reduction</b>	20/461 - Monitor joined up approach between 'Living Well', CYPS Prevention team and Stronger Communities team and escalate issues to Programme Board if necessary	CSD SR AD T&C	Thu-31-Aug-17								
<b>Reduction</b>	20/463 - Revisit the 2020 Vision and Strategy and produce a draft which replaces the previous version and the Council Plan	Chief Exec	Sat-31-Dec-16								
<b>Reduction</b>	20/505 - Develop new projects to cover the 4% challenge and innovate new ideas to cover the shortfall in expected savings (ongoing)	CSD Mgt Team	Fri-31-Mar-17								
<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>Action Manager</b>	
<b>Fallback Plan</b>	20/529 - Reprioritisation of savings, further consideration of structures and ways of working									All Mgt Board	



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Risk Register: month 0 (November 2016) – detailed

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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; 2020 North Yorkshire Programme & constituent elements including service reviews; review of 2020NY in Members seminars, Cabinet, and Overview and Scrutiny Committees where Directorate based; 2020NY Programme Management Office; 2020NY Programme Governance; modelling on implications of external funding levels (eg Spending Review Settlement); next phase of savings ideas generated;							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 - Carry out annual cycle of base budget reviews of specific services					CD SR	Sat-30-Sep-17				
Reduction	20/46 - Ensure effective consultation/communication with staff, public and Members about ongoing savings requirements					All Mgt Board	Sat-30-Sep-17				
Reduction	20/251 - Identify other savings to feed into the supplementary budget report					All Mgt Board	Sun-31-Jul-16	Fri-30-Sep-16			
Reduction	20/261 - SmartSolutions- attempt to increase contributions/surplus through planned development with a targeted approach					CD SR	Tue-31-Jan-17				
Reduction	20/491 - Identify and target additional savings through corporate procurement Strategy (ongoing)					CD SR	Sat-30-Sep-17				
Reduction	20/554 - Carry out modelling on implications of external funding levels (eg Spending Review Settlement)					CD SR	Tue-31-Jan-17	Fri-14-Oct-16			
Reduction	20/972 - Carry out intensive discussions with CCGs through the Health and Well Being Board in order to secure Better Care Fund for supporting Adult Social Care					CD HAS	Sun-31-Jul-16	Sun-31-Jul-16			
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		



Risk Register: **month 0 (November 2016) – detailed**  
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Risk Register: **month 0 (November 2016) – detailed**

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Phase 1 - Identification											
<b>Risk Number</b>	20/194	<b>Risk Title</b>	20/194 - Major Failure due to Quality and/or Economic Issues in the Care Market				<b>Risk Owner</b>	CD HAS	<b>Manager</b>	HAS AD Q&E	
<b>Description</b>	Major failure of provider/key providers results in the Directorate being unable to meet service user needs. This could be caused by economic performance or resource capabilities including recruitment and retention. The impact could include loss of trust in the Care Market, increased budgetary implications and issues of service user safety.					<b>Risk Group</b>	Legislative	<b>Risk Type</b>	HAS Dir 3/162		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Regular review and monitoring contracts; standard contract terms; approvals process; regular meetings to share best practice; experienced staff; regular communication with providers; bulletins; customer feedback; Engagement Group; legal services; CQC; Financial Services & insurance consultation; market analysis; capacity planning; alerts system including brokerage; Service Unit & provider BCPs; QA Framework developed; guidance and ongoing training for purchasing staff; engage with AD ASS; reg meetings with Q&M, Health Commissioner and police; robust comms with CCGs; quality monitoring embedded in Dir perf monitoring; market position statement; reviewed the actual cost of care exercise to incorporate the impact of the national living wage;					<b>Effectiveness</b>			
<b>Probability</b>	H	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	I
Phase 3 - Risk Reduction Actions											
<b>Reduction</b>	20/467 - Develop and implement new model for personal care and support at home					<b>Action Manager</b>	HAS AD Com HAS AD Q&E	<b>Action by</b>	Fri-31-Mar-17	<b>Completed</b>	
<b>Reduction</b>	20/468 - Continue to revise and update a market position statement					<b>Action Manager</b>	HAS AD Com	<b>Action by</b>	Thu-31-Aug-17	<b>Completed</b>	
<b>Reduction</b>	20/469 - Jointly with Health continue to monitor baseline assessments QA framework and risk profiles of providers; targets are reviewed at quarterly officer meetings and info fed into engagement group					<b>Action Manager</b>	HAS AD Q&E	<b>Action by</b>	Wed-31-May-17	<b>Completed</b>	
<b>Reduction</b>	20/470 - Re-establish quarterly Partnership and Partner Liaison meetings (market development board), market analysis and mapping and information sharing					<b>Action Manager</b>	HAS AD Q&E	<b>Action by</b>	Fri-31-Mar-17	<b>Completed</b>	
<b>Reduction</b>	20/471 - Continue with regular engagement meetings with CQC locally and engage with CQCs national programme of identifying providers where there is significant risk of failure					<b>Action Manager</b>	HAS AD Q&E	<b>Action by</b>	Wed-31-May-17	<b>Completed</b>	
<b>Reduction</b>	20/473 - Continue to engage in ADASS work to manage major problems occurring, such as financial issues in the care provider market and ensure robust contingency planning and to learn lessons from serious case reviews at a national level					<b>Action Manager</b>	HAS AD Q&E	<b>Action by</b>	Wed-31-May-17	<b>Completed</b>	
<b>Reduction</b>	20/474 - Work with Veritau on audits of individual suppliers (ongoing)					<b>Action Manager</b>	HAS AD Q&E	<b>Action by</b>	Wed-31-May-17	<b>Completed</b>	
<b>Reduction</b>	20/484 - Consider and implement the recommendations from the actual cost of care exercise; interim payment made awaiting acceptance. Carry out a formal consultation with providers and make decision with HAS Executive Member					<b>Action Manager</b>	HAS AD Q&E	<b>Action by</b>	Mon-31-Oct-16	<b>Completed</b>	
<b>Reduction</b>	20/485 - Complete heat map action plan					<b>Action Manager</b>	HAS HoHR	<b>Action by</b>	Thu-30-Jun-16	<b>Completed</b>	Thu-30-Jun-16
<b>Reduction</b>	20/486 - Implement action plan following outcome of heat map exercise and ensure inclusion of NHS and Partners					<b>Action Manager</b>	HAS HoHR	<b>Action by</b>	Fri-31-Mar-17	<b>Completed</b>	



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Risk Register: **month 0 (November 2016) – detailed**

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<b>Reduction</b>	20/523 - 2020 Market shaping/development project	HAS AD Com HAS AD Q&E	Sat-31-Mar-18								
<b>Reduction</b>	20/524 - Workforce group to develop and support workforce across the sector	HAS AD Q&E HAS HoHR	Sat-31-Mar-18								
<b>Reduction</b>	20/525 - Begin scoping an intervention team	HAS AD Q&E	Wed-31-May-17								
<b>Reduction</b>	20/526 - Introduction of the Q&M database and planning for electronic solutions; awaiting provider list renewal	HAS AD Q&E	Sat-30-Sep-17								
<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>	20/548 - Make client safe, crisis meeting, implement relevant steps, consultation with senior staff and relevant organisations (e.g. Police CQC). Effective communication to relevant parties, utilise established failure plan.									<b>Action Manager</b>	HAS AD Q&E



# Corporate Risk Register

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Risk Register: **month 0 (November 2016) – detailed**

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Phase 1 - Identification											
Risk Number	20/205	Risk Title	20/205 - Schools Organisation Policy and Place Planning				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 (both rising and falling as a result of housing market changes) 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, insufficient school places, fragmentation due to academisation, 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); Cross-directorate "Strategic Priority Schools" approach; Work with the Education Partnership; Keep up to date with current publications, email, etc; Reg review of DfE and other critical websites; Liaison with other LAs and RSC (Schools Commission); Early assessment of resource implications of 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; collaboration guidance and toolkit; framework for prioritisation of school organisation issues; briefings provided for elected Members and NY Education Partnership;					Effectiveness			
Probability	H	Objectives	M	Financial	H	Services	M	Reputation	M	Category	1
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	20/537 - Carry out modelling of a range of scenarios to understand implications of funding and demographic changes					AD SR (CYPS) & Prop CYPS AD S&C	Sun-31-Jul-16	Sun-31-Jul-16			
Reduction	20/538 - Continue to work with and use effective lobbying channels - ongoing work					AD SR (CYPS) & Prop CYPS AD S&C	Thu-31-Aug-17				
Reduction	20/539 - Develop arrangements to support the process of academisation, where it has been started, to ensure smooth transfer of schools. Assist groups of schools, where appropriate, to develop Multi Academy Trust arrangements					CYPS AD S&C	Thu-31-Aug-17				
Reduction	20/540 - Respond to consultation of Early Years funding and assess implications for the market, seeking to ensure an adequate supply of Early Years places					CYPS AD S&C	Sat-30-Sep-17				
Reduction	20/541 - Continue to encourage, support and build capacity to enable schools to work collaboratively to seek to ensure continued viability					CYPS AD S&C	Thu-31-Aug-17				
Reduction	20/542 - Continue to support alternative models of school leadership including mergers, federations and informal partnerships which is an S&C lead (ongoing)					CYPS AD S&C	Mon-31-Jul-17				
Reduction	20/543 - Ensure appropriate resource is available to schools looking at alternative methods of delivery (ongoing)					CYPS AD S&C	Mon-31-Jul-17				
Reduction	20/544 - Ensure consistent approach corporately to CIL infrastructure funding					CYPS AD S&C	Thu-31-Aug-17				
Reduction	20/545 - Continual review of the estate including maintenance requirement (ongoing)					AD SR (CYPS) & Prop	Thu-31-Aug-17				



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<b>Reduction</b>	20/546 - Exploit alternative sources of funding for the delivery of new school places	CYPS AD S&C	Thu-31-Aug-17									
<b>Reduction</b>	20/547 - Develop constructive relationships with the Regional Schools Commissioner	CYPS AD S&C	Thu-31-Aug-17									
<b>Reduction</b>	20/548 - Work with the Property team to mitigate risks to the delivery of the 2016/17 and 2017/18 capital plans arising from the transfer of the contract with Mouchel to an in-house arrangement	CYPS AD S&C	Thu-31-Aug-17									
<b>Phase 4 - Post Risk Reduction Assessment</b>												
<b>Probability</b>	M	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	M	<b>Category</b>	2	
<b>Phase 5 - Fallback Plan</b>												
										<b>Action Manager</b>		
<b>Fallback Plan</b>	20/629 - Investigate failure and resolve; member briefings; media mgt										CD CYPS	



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 Report Date: 10<sup>th</sup> November 2016 (pw)

Phase 1 - Identification												
<b>Risk Number</b>	20/187	<b>Risk Title</b>	20/187 - Information Governance				<b>Risk Owner</b>	Chief Exec	<b>Manager</b>	CD SR		
<b>Description</b>	Ineffective information governance arrangements lead to unacceptable levels of unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to FoI requests, and inability to locate key data upon which the Council relies resulting in loss of reputation, poor decision making, fine, etc					<b>Risk Group</b>	Legislative	<b>Risk Type</b>	CS 15/161			
Phase 2 - Current Assessment												
<b>Current Control Measures</b>			Information Governance Strategy including the associated Policy and Procedure Framework; CIGG Action Plan; data breach process; messages from senior management; on-line training; staff induction; Information Asset Owners identified; information asset registers; DIGCs; posters; intranet information; regular monitoring of electronic communication by ICT; series of unannounced security compliance visits by internal audit; application of all the features of the Information Security Management System (ISMS); FoI – controls include central monitoring of receipt and progress, regular review by Veritau and review of outstanding cases by the Chief Exec on a monthly basis; proactive monitoring of all data; terms of reference reviewed; Directorate virtual group; internal audit support investigation of significant data breaches; CIGG consider reasons for data breaches and cascade lessons learned; secure physical storage and internal info transfer issues resolved; Non NYCC Network Access Policy produced; e learning training packages refreshed; Data Sharing Protocol in place					<b>Effectiveness</b>				
<b>Probability</b>	H	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	1	
Phase 3 - Risk Reduction Actions												
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>			
<b>Reduction</b>	15/423 - Continue to emphasise personal responsibility of staff for all information in this area and consider disciplinary action in cases of data breaches						CD SR CSD ACE BS	Thu-31-Aug-17				
<b>Reduction</b>	15/424 - Review and update service information asset registers in line with policy guidelines						Ho Int Audit	Fri-31-Mar-17				
<b>Reduction</b>	15/426 - Ensure individual information sharing agreements completed for each data sharing activity (some agreements are already in place) - (ongoing)						Ho Int Audit	Thu-31-Aug-17				
<b>Reduction</b>	15/431 - Work within services in a prioritised order to ensure information is secure and transferred securely						CSD SR AD T&C	Fri-31-Mar-17				
<b>Reduction</b>	15/432 - Review existing training approach and investigate additional team based reviews to embed practice						CSD SR AD T&C Ho Int Audit	Sat-31-Dec-16				
<b>Reduction</b>	15/433 - Continue communications to staff to ensure good Information Governance including messages from Management Board and associated campaigns (ongoing)						CSD SR AD T&C Ho Int Audit	Thu-31-Aug-17				
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>	M	<b>Category</b>	4	
Phase 5 - Fallback Plan												
								<b>Action Manager</b>				
<b>Fallback Plan</b>	15/514 - Review Action Plan and new technology and continue to raise awareness. Invite ICO to carry out an audit of NYCC IG systems							CD SR				





# Corporate Risk Register

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Phase 1 - Identification												
<b>Risk Number</b>	20/334	<b>Risk Title</b>	20/334 - Opportunities for Devolution in North Yorkshire and Consideration of a Combined Authority					<b>Risk Owner</b>	Chief Exec		<b>Manager</b>	CD BES
<b>Description</b>	Failure to take advantage of Devolution opportunities in North Yorkshire resulting in reduced investment and impact on the growth and jobs across the whole of North Yorkshire.						<b>Risk Group</b>	Strategic		<b>Risk Type</b>		
Phase 2 - Current Assessment												
<b>Current Control Measures</b>			Devolution proposals submitted to Govt., LEP strategic economic plan in place; NYCC retains the Infrastructure Delivery Steering Group; NYCC wide co-ordination of development needs linked to District plans; local authorities are moving towards a joint committee & considering a combined authority; LA Director group in place; plan detailing powers and funding developed;						<b>Effectiveness</b>			
<b>Probability</b>	H	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	M	<b>Category</b>	1	
Phase 3 - Risk Reduction Actions												
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>			
<b>Reduction</b>	20/364 - Gain political support both locally and nationally (ongoing)						Chief Exec	Sat-31-Dec-16				
<b>Reduction</b>	20/916 - Establish the geography on which to secure Devolution						Chief Exec	Sat-31-Dec-16				
<b>Reduction</b>	20/917 - Develop detailed business cases for all requirements						Chief Exec	Sat-31-Dec-16				
<b>Reduction</b>	20/1397 - Negotiate the economic barriers and opportunities which Devolution can take advantage of with Government						CD BES	Sat-31-Dec-16				
Phase 4 - Post Risk Reduction Assessment												
<b>Probability</b>	M	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	L	<b>Category</b>	4	
Phase 5 - Fallback Plan												
										<b>Action Manager</b>		
<b>Fallback Plan</b>	20/551 - Consider a North Yorkshire deal									Chief Exec CD BES		

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Phase 1 - Identification											
Risk Number	20/47	Risk Title	20/47 - Partnership and Integration with the NHS				Risk Owner	Chief Exec	Manager	CD HAS	
Description	Failure to agree outline integration plans by 2017 leading to full integration plans by 2020 with the NHS, in the context of managing 3 ST Plans and failure to develop and implement new models of care. This could result in a negative impact on Devolution proposals, fragmentation of NY partnership planning and delivery arrangements, increased costs and inconsistent / poorer service delivery to local people				Risk Group	Partnerships	Risk Type	CYPs 24/221 HAS 3/180			
Phase 2 - Current Assessment											
Current Control Measures		<p><b>HAS:</b> Effective HWB partnership with clear governance providing strategic leadership with a shared performance dashboard; chief Officer representation influencing the development of STPs; HASLT locality delivery model in place actively shaping local integration plans; Joint leadership in Harrogate delivering a new model of care and in Scarborough developing a new model of care; agreement in 2016/17 to protect social care through the Better Care Fund; agreement with NY Commissioner Forum to develop a joint commissioning strategy that will include CHC and other areas; Health and Well-being Strategy in place</p> <p><b>CYPs:</b> H&amp;W Board; Children's Trust Board; Public Health team; CYPLT; Dir of partnership Commissioning; joint post of Commissioning Manager; joint post of Public Health analyst; CYPs Plan; Health and Well-being Strategy refreshed with children's health as a priority and aligned with the CYPs Plan; JSNA; CYPLT fully briefed and up to date with the changing commissioning landscape and the different roles involved; appropriate engagement secured with CCGs and PCU for commissioning affecting children and young people and their families; services recommissioned for 0-5 and 5 - 19 Healthy Child Programme to ensure close alignment with Preventative Services; children's health performance reviewed at the Children's Trust Board to monitor the impact of changes on children's health outcomes in North Yorkshire; Work with Public Health to embed PH outcomes into the work of CYPs; Director of PH annual 2015 report focussing on children's health; arrangements for services for children with speech, language and communication needs in place and currently remaining under joint review; specifications for 0-5 healthy child service in place; CCGs 'future in mind' plans 2015/16 reflects the needs of Children and Young People in N Yorkshire; tender process for future contracts;</p>					Effectiveness				
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
Reduction	Action	Action Manager	Action by	Completed							
Reduction	20/60 - Ensure new S75 agreement signed by CCGs 2016/17 (ongoing)	AD SR (HAS) & Proc	Wed-30-Nov-16								
Reduction	20/362 - Ensure NHS partners are fully aware of the democratic and political environment they are operating within and liaise with Scrutiny colleagues to ensure a positive outcome (ongoing)	CD HAS	Thu-31-Aug-17								
Reduction	20/363 - Actively monitor relationships, priorities and communications and ensure that HAS managers are fully engaged at appropriate level and review at HAS WLT on a regular basis (ongoing)	CD HAS	Thu-31-Aug-17								
Reduction	20/399 - Develop and implement outline integration plans with CCGs	HAS AD Integration	Fri-30-Jun-17								
Reduction	20/400 - Arrange a HB workshop on the challenges of managing the health and social care economy in N Yorkshire	HAS AD Integration	Wed-30-Nov-16								
Reduction	20/450 - Ensure effective monitoring arrangements for the 0-5 contract are in place	CYPs S&C CMH	Fri-31-Mar-17								



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<b>Reduction</b>	20/451 - Agree and implement new models of care in preparation of 2017 Integration plans in all CCG localities incl. Vanguard (HaRD) Ambitions for Health	CD HAS	Fri-31-Mar-17								
<b>Reduction</b>	20/452 - Engage wider HASLT in testing the implications of different integration models	HAS AD Com HAS AD Integration	Fri-31-Mar-17								
<b>Reduction</b>	20/453 - Contribute to 3 STP draft plans	HAS AD Integration	Mon-31-Oct-16								
<b>Reduction</b>	20/457 - Improve the DToC (Delayed Transfer of Care) performance to avoid financial penalties and reputational issues. Put in place affordable DToC (Delayed Transfer of Care) plans that avoid financial penalties	HAS AD C&SHAS AD Com	Fri-30-Jun-17								
<b>Reduction</b>	20/458 - Consider the viability of a local Risk Share Agreement with NHS Partners (ongoing)	AD SR (HAS) & Proc HAS AD Integration	Thu-31-Aug-17								
<b>Reduction</b>	20/459 - Review governance arrangements for the Health and Wellbeing Board to ensure delivery of the joint H & W Strategy	HAS AD Integration	Fri-31-Mar-17								
<b>Reduction</b>	20/477 - Ensure Healthy Child team and Prevention team collaborate effectively to deliver improved outcomes of Children, Young People and Families	CYPS C&F HoPrev	Sat-30-Sep-17								
<b>Reduction</b>	20/479 - Ensure that the CCGs refreshed 'future in mind' plans 2016/17 reflect the needs of Children and Young People in N Yorkshire	CYPS AD S&C	Fri-31-Mar-17								
<b>Reduction</b>	20/481 - Continue to contribute to the 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 the Children and Young People's Plan (ongoing)	CD CYPS	Sat-30-Sep-17								
<b>Reduction</b>	20/482 - Contribute to the review of the Partnership Commissioning Unit	CD CYPS CYPS Incl HoIE	Fri-31-Mar-17								
<b>Reduction</b>	20/483 - Contribute to the review of delivery arrangements for Health and Wellbeing Board to support implementation of reporting and performance arrangements (joint with HAS)	CD CYPS	Thu-30-Jun-16	Fri-30-Sep-16							
<b>Reduction</b>	20/527 - Work with the commissioned provider to ensure Mental Health services are effective	CYPS C&F HoRes	Sun-30-Apr-17								
<b>Reduction</b>	20/528 - Address lessons learned from the SEND inspection to strengthen the partnership with Health	CYPS AD Incl	Mon-31-Jul-17								
<b>Reduction</b>	20/529 - Carry out focussed in depth analyses of children's health in N Yorkshire, raising awareness and seeking actions from partner agencies to mitigate risks around children's physical and mental health, and to inform commissioning decisions	CYPS AD S&C	Wed-30-Nov-16								
<b>Reduction</b>	20/531 - Hold regular contract monitoring and quality assurance meetings with providers including on site commissioning visits	CYPS S&C CMH	Thu-31-Aug-17								
<b>Reduction</b>	20/909 - Carry out tender process for future contracts	CYPS S&C CMH	Tue-31-May-16	Thu-30-Jun-16							
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	M	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	M	<b>Category</b>	2
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>	20/210 - Escalation to CMB and Executive Members, further engagement with senior tiers in NHS locally, regionally and nationally.									<b>Action Manager</b>	CD HAS



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Phase 1 - Identification											
<b>Risk Number</b>	20/189	<b>Risk Title</b>	20/189 - Safeguarding Arrangements				<b>Risk Owner</b>	Chief Exec	<b>Manager</b>	CD HAS CD CYPS	
<b>Description</b>	Failure to have a robust Safeguarding service in place results in risk to vulnerable children, adults and families and not protecting them from harm.					<b>Risk Group</b>	Safeguarding	<b>Risk Type</b>	CYPS 24/250 HAS 3/27		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>	<p><b>CYPS</b> – Safeguarding website; regularly reviewed procedures; monthly performance data for monitoring; audit regime; manager authorisation of all assessments; ICS; family intervention team; training strategy; clear supervision process which is audited on a regular basis; customer contact screening team; OFSTED 'good' categorisation; delivery and implementation of the Child Sexual Exploitation (CSE) strategy with the LSCB;</p> <p><b>HAS</b> - Detailed action plan; Safeguarding review for the County; revised Safeguarding Boards and sub groups linked to new Care Act provisions; Safeguarding Head of Locality and team; strengthening of Safeguarding policy team; case file audit and review; training plan; best interest assessors in post; better understanding &amp; embedding of Mental Capacity Act Forum; independent chair to Safeguarding Board in place; risk enablement panel developed; countywide safeguarding general manager in place; testing of initial performance metrics for Safeguarding Board has taken place; safeguarding procedures reviewed linked to consultation in light of the Care Act; safeguarding board performance framework; protocol for the relationship between Adults Social Care (and Children's Trust) and the Health and Wellbeing Board agreed and implemented; risk assessment tool launched;</p>							<b>Effectiveness</b>			
<b>Probability</b>	M	<b>Objectives</b>	H	<b>Financial</b>	M	<b>Services</b>	M	<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>Reduction</b>	20/374 - Ensure compliance with Safeguarding Board and Children and Families' procedures [CYPS]					CYPS AD C&F	Mon-31-Jul-17				
<b>Reduction</b>	20/375 - Commission external placements and negotiate specific competencies of staff plus additional medical resources for complex Young People [CYPS]					CYPS C&F HoS&LAC	Mon-31-Oct-16				
<b>Reduction</b>	20/376 - Continue to raise awareness of the escalation procedures relating to children missing and at risk of being VEMT [CYPS]					CYPS C&F HoS&LAC	Mon-31-Jul-17				
<b>Reduction</b>	20/377 - Ensure all cases of children at risk of CSE are flagged on LCS [CYPS]					CYPS C&F HoS&LAC	Mon-31-Jul-17				
<b>Reduction</b>	20/378 - Ongoing Mgt file audit of case files against established assessment standards and staff supervision files [CYPS]					CYPS C&F SMT	Mon-31-Jul-17				
<b>Reduction</b>	20/379 - Monitoring and management of performance against agreed targets in the SMT action plan [CYPS]					CYPS C&F SMT	Mon-31-Jul-17				
<b>Reduction</b>	20/381 - Implementation of the VEMT (Vulnerable, Exploited, Missing, Trafficked) process through the LSCB (CYPS)					CYPS C&F HoS&LAC	Mon-31-Oct-16				
<b>Reduction</b>	20/382 - Feed into review of EDT arrangements (adult lead) (CYPS)					CYPS AD C&F	Fri-30-Jun-17				



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<b>Reduction</b>	20/384 - Review of planning structure for Local Safeguarding Board (CYPS)	CYPS C&F SUM	Sat-31-Dec-16								
<b>Reduction</b>	20/385 - Develop an information framework for serious incident data, eg drug death etc [HAS]	AD SR (HAS) & Proc HAS AD Q&E	Sat-31-Dec-16								
<b>Reduction</b>	20/456 - Continued vigilance to ensure our supervisory body role adheres to good practice and national guidance, evidenced by regular reports to HASLT and members [HAS]	HAS AD Q&E	Wed-31-May-17								
<b>Reduction</b>	20/487 - Continue to work with Quality and Engagement team to improve quality assurance; including work with CQC, Health and Healthwatch [HAS]	HAS AD C&S HAS AD Q&E	Thu-31-Aug-17								
<b>Reduction</b>	20/488 - Revise and implement the Quality Assurance Framework [HAS]	HAS Q&E Ho Q&M	Sun-31-Jul-16	Sun-31-Jul-16							
<b>Reduction</b>	20/489 - Ongoing joint work with CYPS to carry out review of approach to domestic abuse and Prevent [HAS]	HAS AD Q&E	Fri-31-Mar-17								
<b>Reduction</b>	20/490 - Complete training in respect of safeguarding policies and procedures and wider awareness training for groups such as elected Members [HAS]	HAS AD C&S	Sat-31-Dec-16								
<b>Reduction</b>	20/532 - Bringing in further experienced staff whenever possible [HAS]	HAS AD C&S	Wed-31-May-17								
<b>Reduction</b>	20/533 - Revise existing safeguarding policies and procedures in light of operational experience [HAS]	HAS AD C&S	Fri-31-Mar-17								
<b>Reduction</b>	20/534 - Carry out the supervisory body role for DoLS to ensure the system works; within priorities agreed [HAS]	HAS AD Q&E	Wed-31-May-17								
<b>Reduction</b>	20/535 - Continue to ensure partners are fully engaged with Safeguarding boards centrally and locally, particularly new health partners (CCGs) - ongoing, two board development days held [HAS]	HAS AD C&S HAS AD Q&E	Wed-31-May-17								
<b>Reduction</b>	20/536 - Embedding safeguarding work to deliver the Transforming Care programme incl. embedding the care act role of Principal Social Worker and Safeguarding Board Manager [HAS]	HAS AD C&S	Wed-31-May-17								
<b>Reduction</b>	20/1176 - Ongoing work to implement the concordat following Winterbourne View [HAS]	HAS AD C&S	Wed-31-May-17								
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	L	<b>Objectives</b>	H	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	3
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>	20/545 - Carry out necessary review of approach, target underperforming areas and take on lessons learned from any serious case reviews									<b>Action Manager</b>	
										CD CYPS CD HAS	

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Phase 1 - Identification											
Risk Number	20/206	Risk Title	20/206 - Growth				Risk Owner	Chief Exec		Manager	CD BES
Description	Failure to deliver the ambition of Sustainable Economic Growth through the delivery of the right housing, transport, and connectivity infrastructure, whilst protecting the outstanding environment and heritage, and within the context of two-tier local government structure and wider macro-economic policy and processes. This results in an inability to attract, retain and grow businesses, increase the house building rate, raise living standards and increase spending power.					Risk Group	Strategic		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Direct contribution and support, including through provision of accountable body function, to the YNYER Local Enterprise Partnership; Establishment of an Economic Growth Function within BES; Proactive engagement in LGNYYP partnership working including through Directors of Development, Chief Housing Officers, and Economic Development Officer Groups; Lead role in enabling and developing YNYER Spatial Framework; Lead role in supporting and developing the NYCC Infrastructure Delivery Steering Group; Lead role in initiating and developing the NYCC Economic Growth Plan; Work to secure Combined Authority / Devolution deal with Government;					Effectiveness			
Probability	M	Objectives	M	Financial	H	Services	H	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	20/549 - Development, agreement and corporate implementation of NYCC Economic Growth and Delivery Plan including secure sign-off by Management Board and senior Elected Members					BES AD GP&TS BES GP&TS HoSP&EG	Sat-31- Dec-16				
Reduction	20/550 - Develop and implement enhanced collaborative working arrangements with District Councils - Date TBA					BES AD GP&TS	Sat-31- Dec-16				
Reduction	20/551 - Development and agreement of YNYER Spatial Framework to enable effective long-term planning and investment of infrastructure for growth.					BES AD GP&TS	Fri-31- Mar-17				
Reduction	20/552 - Maintain good working relationship with the LEP (ongoing)					CD BES	Sat-30- Sep-17				
Reduction	20/553 - Understand and investigate any impacts of Brexit and ensure opportunities are taken					BES AD EPU CD BES	Sun-30- Sep-18				
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	20/553 - Review and revise existing arrangements for sustainable economic growth								CD BES		



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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>	CS 15/183	
Phase 2 - Current Assessment											
<b>Current Control Measures</b>		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; managers' online H&S training and other modules revised; health and safety function within NYCC (2nd stage) reviewed; Work with City of York Council to agree the new structure for the shared service;						<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>Reduction</b>	15/248 - Continue delivery of the programme of H&S monitoring (ongoing)						AD SR (CYPS) & Prop	Thu-31-Aug-17			
<b>Reduction</b>	15/249 - Implement the revised directorate H&S action plans in line with the top 10 risks agreed at CRMG and report performance						AD SR (CYPS) & Prop	Thu-31-Aug-17			
<b>Reduction</b>	15/255 - Ensure appropriate operating standards of H&S risk assessments exist and are being implemented locally (linked to 15/249 above)						AD SR (CYPS) & Prop	Thu-31-Aug-17			
<b>Reduction</b>	15/257 - Review and revise the corporate H&S procedures alongside alignment with the safety management system						CSD SR HoHSRM	Fri-31-Mar-17			
<b>Reduction</b>	15/408 - Implement arrangements for H&S function following the agreement of the structure for shared services with City of York Council						AD SR (CYPS) & Prop	Fri-31-Mar-17			
<b>Reduction</b>	15/417 - Carry out review of the health and safety function – 3rd stage						AD SR (CYPS) & Prop	Fri-31-Mar-17			
<b>Reduction</b>	15/427 - Review and revise the employees' online H&S training and other modules						AD SR (CYPS) & Prop	Fri-31-Mar-17			
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			

