

AUDIT COMMITTEE

20 December 2018

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 in 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 September/October. A six monthly review is then carried out in March/May.
- 3.3 An annual update of the Corporate Risk Register was carried out in November this year – 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

- Brexit Arrangements – adding this risk reflects the need to assess the impacts and necessary actions that should be considered as a result of Brexit.

Deleted risks

- Commercial Strategy – this risk has been taken off the corporate risk register but remains on the Central Services Directorate risk register. Reference to the Commercial Strategy continues to be made at the corporate level in the Savings and Transformation Programme risk through an action which states that there is a need to continue to develop effective commercial operations.
- Health and Safety – this risk continues to be referenced in risk registers and managed and controlled at Directorate level across the County Council.

Significantly Changed Risks

- Savings and Transformation Programme – this risk is the refreshed and updated 2020 Change Programme risk and takes into account 'Beyond 2020'.
- Devolution and Growth – it was initially considered whether we take the Growth risk off the corporate risk register, but then it was decided that it would make sense to combine the Growth risk and the Opportunities for Devolution risk together.

The rankings of all the remaining risks stayed the same apart from the Schools Organisation and Funding risk (as shown on the summary in the left hand column of **Appendix A**). The ranking of this risk has declined from 1:4 to 1:2 to reflect the challenges of funding. 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 further discussion
- Each risk has then to be ranked based on the following:
 - existing risk controls in place
 - probability of the risk occurring (based on existing controls)
 - impact of the risk occurring (based on existing controls)
 - further risk 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
- 3 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 LINKS BETWEEN CORPORATE AND DIRECTORATE RISK REGISTERS

4.1 As indicated previously, the Corporate Risk Register is the culmination of the identification of key significant risks that are identified at Directorate and Service levels. For information and out of interest, an exercise is carried out to identify the links between Directorate Risk Registers and the Corporate Risk Register. Please find attached a diagram showing these links at **Appendix B**.

5.0 ADDITIONAL RISK PRIORITISATION EXERCISES

5.1 As well as the bi-annual update of Corporate, Directorate and Service risk registers, additional workshops are also carried out to develop risk registers for specific areas of activity in the County Council. At this time these include:

- The Allerton Waste Recovery Park (AWRP) near Knaresborough – the site’s operations, processes and contract management arrangements continue to be reviewed and refined. The risk register supports this work and continues to look at risks including partnership working, finance, communications, and waste volumes.
- Harrogate Rail Line Improvement – a risk register has been developed with our partners Network Rail and Northern Rail, initially to support a bid for LEP funding for improving the rail line between Harrogate and York, looking to increase train frequency and reduce journey time. Following the successful bid the risk register is now being used by the Joint Project Board to manage the delivery risks including partnership working, level crossing issues and potential cost overrun.
- UCI Road World Championships 2019 – building on work done in readiness for the Tour de France Grand Depart and the Tour de Yorkshire in recent years, a register has been developed to prepare for hosting this major event in Yorkshire in 2019. Early risks being considered include event route

condition management, reputation management and arrangements for the sportive and associated public events.

6.0 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 2018

Author of report: Fiona Sowerby, Corporate Risk and Insurance Manager
Tel 01609 532400

Background papers: None

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2018) – summary**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (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		
- new -	20/235 - Brexit Arrangements	The UK leaves the European Union with sub-optimal arrangements resulting in difficulties in recruitment, data protection, price uncertainty and supply chain difficulties, price pressures from contractors, increased demands on services from customers and businesses; and adverse impacts upon the local economy and infrastructure and environmental standards. (Latest version to be reviewed again in January 2019)	Chief Exec	All Mgt Board	H	H	H	H	M	1	12	31/03/2019	H	H	H	H	M	1	Y	Chief Exec
◀▶	20/207 - Savings and Transformation Programme	Failure to design and implement a coherent savings and transformation programme "Beyond 2020" which delivers the forecast funding shortfall resulting in short term and sub optimal savings decisions ie service cuts	Chief Exec	CD SR	H	H	H	H	H	1	13	31/03/2019	M	H	H	H	H	2	Y	All Mgt Board
◀▶	20/1 - Funding Challenges	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	1	9	28/02/2019	M	H	H	M	M	2	Y	All Mgt Board
◀▶	20/194 - Major Failure due to Quality and/or Economic Issues in the Care Market	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	1	12	31/12/2018	H	M	M	M	M	2	Y	HAS AD Q&E
▲	20/205 - Schools Organisation and Funding	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	1	11	31/08/2019	M	M	H	M	M	2	Y	CD CYPS
◀▶	20/187 - Information Governance	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	7	31/12/2018	M	L	M	L	M	4	Y	CD SR
- new -	20/236 - Opportunities for Devolution and Growth in North Yorkshire	Failure to take advantage of Devolution opportunities and to deliver the ambition of Sustainable Economic Growth, through for example the delivery of the right housing and transport whilst protecting the outstanding environment and heritage, resulting in reduced investment and impact on the growth and jobs, inability	Chief Exec	CD BES	H	M	H	H	H	1	9	31/03/2019	M	M	M	M	M	4	Y	CD BES Chief Exec

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2018) – summary**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (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		
		to attract, retain and grow businesses and raise living standards across North Yorkshire																		
	20/47 - Partnership and Integration with the NHS	Failure to shape and drive the configuration of the NHS from both a Commissioner and Provider perspective resulting in suboptimal maximisation of integration across the NYCC footprint, a negative impact on the customer experience and the possibility of fragmented care and poor outcomes	Chief Exec	CD HAS	M	M	H	M	M	2	20	31/12/2018	M	M	H	M	M	2	Y	CD HAS
	20/189 - Safeguarding Arrangements	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	31/12/2018	L	H	M	M	H	3	Y	CD CYPS CD HAS

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

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2018) – detailed**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (pw)**

Phase 1 - Identification									
Risk Number	20/235	Risk Title	20/235 - Brexit Arrangements			Risk Owner	Chief Exec	Manager	All Mgt Board
Description	The UK leaves the European Union with sub-optimal arrangements resulting in difficulties in recruitment, data protection, price uncertainty and supply chain difficulties, price pressures from contractors, increased demands on services from customers and businesses; and adverse impacts upon the local economy and infrastructure and environmental standards. (Latest version to be reviewed again in January 2019)					Risk Group	Strategic	Risk Type	

Phase 2 - Current Assessment											
Current Control Measures		Guidance on how to prepare for Brexit issued on specific areas such as trade and procurement, and funding programmes by the Government; NYLRF; Workforce - LGA submission on care sector recruitment put forward; no change in employment law; LEP guarantee of continued funding agreed for projects before Brexit including rural development; domestic legislation to preserve EU law in relation to farm payment to be put in place; State Aid - current approvals for state aid will continue to apply and such acceptances by the European Commission will remain valid and will be transposed into UK law. Public Health - domestic legislation to preserve EU law in relation to labelling tobacco products and e cigarettes local policies with partners to continue delivery in place; Procurement – Many of the processes and procedures will remain the same, but with the Minister for the Cabinet Office replacing current EU reporting/governance. The requirement for fair, open and transparent competition will remain so no favoured nations and use of 'local' may not be widened. A strategy sub theme group on Brexit in place; contract variation gateway in place for contracts over certain values; Trading Standards - Continue to monitor new and amended legislation and identify changes with significant impact for business or consumers; continue to review relevant technical notices and begin to develop new advice or procedures as required. Environmental Standards - domestic legislation to preserve EU law in relation to environmental standards (Environment Bill) to be put in place; contractors encouraged to consider Brexit risks and seek mitigation; Data Protection – Data Protection Act including GDPR;									
Probability	H	Objectives	H	Financial	H	Services	H	Reputation	M	Category	1

Phase 3 - Risk Reduction Actions							
		Action Manager	Action by	Completed			
Reduction	20/250 - Workforce: Monitor the potential impact on recruitment including the care sector in particular and put together an appropriate action plan if required	CSD ACE BS	Sun-31-Mar-19				
Reduction	20/400 - LEP funding programmes James/Andrew Leeming to provide next steps, FS suggestion: Ensure guaranteed future funding is received for projects such as EDFR, Horizon 2020, together with structural and investment funds	CD BES	Sun-31-Mar-19				
Reduction	20/405 - LEP farming James/Andrew Leeming to provide next steps, FS suggestion: Ensure guaranteed funding for projects up to the end of 2020 is received. FS suggestion: Ensure preserved farm payments are made until new agricultural policies are developed and implemented.	CD BES	Sun-31-Mar-19				

Reduction	20/454 - State Aid: KD suggestion: Monitor details of future trading relationships, and understand the local implications of any guidance provided relating to State Aid. KD suggestion: Act upon guidance issued by the Competition and Markets Authority when more detail is provided on the new regulatory function and how State Aid rules will be enforced.	CSD ACE LDS	Sun-31-Mar-19				
Reduction	20/461 - Public Health: Continue to maintain the same high standards in promoting and protecting the health of the public. Continue to monitor variations post Brexit and put local arrangements in place.	CD HAS	Sun-31-Mar-19				

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2018) – detailed**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (pw)**

Reduction	20/465 - Procurement: Monitor the potential impact on public procurement regulations and action any changes to law and NYCC process as they occur. Links made with Cabinet Office EU/International Procurement Policy Team. Put in place additional contract variation scrutiny for lower value contracts.	CD SR	Sun-31-Mar-19	
Reduction	20/467 - Trading Standards: Develop generic and specialist business advice packages to complement existing business advice strategy. Liaise with Citizens Advice Consumer Service (CACS) to determine their contingency plans and make any necessary adjustments to the NYCC/CACS protocol. Review whether changes are required to the trading standards tasking filter and matrix and report to BES Executive Members in March 2019. Review animal disease plans and amend as necessary.	CD BES	Sun-31-Mar-19	
Reduction	20/470 - Environmental Standards: continue to keep a watching brief, through attendance at relevant groups and receiving updates and briefings. Monitor the progression of the Environment Bill, assess the impact when enacted and put together an action plan for approval by Management Board. Monitor cross border waste movements and tariffs and put together an action plan for local arrangements.	CD BES	Sun-31-Mar-19	
Reduction	20/472 - Data Protection: Put controls in place for data transferred into and out of the UK. Review current cloud service contract and ensure controls are in place to ensure data is held in the UK. Monitor changes to the legal framework governing transfers of personal data.	CD SR	Sun-31-Mar-19	
Reduction	20/478 - Guidance on Brexit – continue to receive notification on emerging guidance on areas affecting Local Government, review impact on the Council and report regularly on this to Management Board.	CSD AD PPC	Sun-31-Mar-19	
Reduction	20/480 - Take part in engagements arranged by and with the DExEU and MHCLG through the County Councils Network, regional post Brexit England Commission roadshow, review impact on the Council and report regularly on this to Management Board.	CSD AD PPC	Sun-31-Mar-19	
Reduction	20/730 - Work as part of North Yorkshire Local Resilience Forum to ensure that civil contingencies issues are identified, evaluated and appropriate planning undertaken.	CSD AD PPC	Sun-31-Mar-19	

Phase 4 - Post Risk Reduction Assessment

Probability	H	Objectives	H	Financial	H	Services	H	Reputation	M	Category	I
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Phase 5 - Fallback Plan

											Action Manager
Fallback Plan	20/573 - Revisit in January 2019 and look at emergency measures that need to be put in place.										Chief Exec

Corporate Risk Register

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Risk Register: **month 0 (November 2018) – detailed**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (pw)**

Phase 1 - Identification												
Risk Number	20/207	Risk Title	20/207 - Savings and Transformation Programme					Risk Owner	Chief Exec		Manager	CD SR
Description	Failure to design and implement a coherent savings and transformation programme "Beyond 2020" which delivers the forecast funding shortfall resulting in short term and sub optimal savings decisions ie service cuts					Risk Group	Strategic		Risk Type	CS 15/11		
Phase 2 - Current Assessment												
Current Control Measures			Transformation programme; alignment with Council Plan and corporate priorities; Members workshops & political group sessions completed; briefings of Cabinet; regular Mgt Board/Programme Board meetings; staff communication constantly reviewed 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; 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; Enhanced Strategic Support service to ensure high quality and robust service and team planning; action plan following peer review monitored;									
Probability	H	Objectives	H	Financial	H	Services	H	Reputation	H	Category	1	
Phase 3 - Risk Reduction Actions												
							Action Manager	Action by	Completed			
Reduction	15/634 - Carry out further transformational conversations with Management Board to potentially lead to identifying new areas of cross cutting programmes (current timeframe to fall in line with Mar 2019 budget savings)						CSD SR AD T&C	Sun-31-Mar-19				
Reduction	15/635 - Fundamental review of projects, reassessment of priority and agree outcomes						CD SR CSD SR AD T&C	Sun-31-Mar-19				
Reduction	15/636 - Continue to deliver existing Programme including Directorate and cross cutting programmes						CD SR CSD SR AD T&C	Wed-31-Jul-19				
Reduction	15/637 - Embed the BEST approach into service planning to identify yearly efficiency savings						CD SR CSD Mgt Team CSD PPC HoS&P	Tue-31-Dec-19				
Reduction	15/639 - Focus reviews on areas of overspend						CSD Mgt Team	Wed-31-Jul-19				
Reduction	15/831 - Continue to monitor delay of Programmes and the effect on benefits (ongoing)						CSD SR AD T&C	Sat-31-Aug-19				
Reduction	20/42 - Review (deep dives) specific high-risk base budgets such as HAS Care and Support, SEN Transport and School Improvement in 2018/19						CD SR	Sun-31-Mar-19				
Reduction	20/52 - Refresh and carry out a revised plan for reviewing base budgets in 2018/19 on a risk based assessment						CD SR	Sun-31-Mar-19				
Reduction	20/386 - Approve detailed business plans for each of the associated businesses: NY Education Services, Yorwaste, Property Services etc. by Shareholder Committee and Brierley Board and put in place a monitoring regime (Forward Plan) for progress						CD SR	Sun-31-Mar-19				
Reduction	20/403 - Carry out monthly monitoring of communications and engagement plan including key messages and themes (ongoing)						CSD HoC	Sat-31-Aug-19				
Reduction	20/491 - Identify and target additional savings through corporate Procurement Strategy (ongoing)						CD SR	Mon-30-Sep-19				
Reduction	20/505 - Carry out a fundamental review of the organisation's design and development programme						All Mgt Board CSD ACE BS	Sun-31-Mar-19				

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2018) – detailed**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (pw)**

Reduction	20/526 - Continue to develop effective Commercial operations (ongoing)					All Mgt Board Chief Exec	Mon-30-Sep-19				
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	H	Financial	H	Services	H	Reputation	H	Category	2
Phase 5 - Fallback Plan											
Fallback Plan	15/561 - Carry out service cuts							Action Manager			
								All Mgt Board			

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2018) – detailed**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (pw)**

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; 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 Governance; modelling on implications of external funding levels (eg Spending Review Settlement); next phase of savings ideas generated; meetings with traded services' managers completed; interim NYES business plan in place; sustainable additional social care funding; advocacy work including with MPs, CCN and professional networks;								
Probability	H	Objectives	H	Financial	H	Services	H	Reputation	H	Category	1
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	15/638 - Deliver against areas identified as housekeeping (negative RSG, fairer funding review, fees and charges, business rates)					CSD SR AD T&C		Sun-31-Mar-19			
Reduction	20/46 - Ensure effective consultation/communication with staff, public and Members about ongoing savings requirements					All Mgt Board		Mon-30-Sep-19			
Reduction	20/402 - Ensure that additional social care funding is used in a sustainable way (ie non recurrent)					CD HAS CD SR		Sun-31-Mar-19			
Reduction	20/616 - Ensure active participation in professional networks and LG pressure groups (for example CCN and LGA) to shape activity in relation to advocacy (ongoing)					All Mgt Board		Mon-30-Sep-19			
Reduction	20/617 - Continue to lobby MPs and Govt for additional social care funding (BCF) (ongoing)					CD HAS CD SR		Sun-31-Mar-19			
Reduction	20/618 - Develop a time limited Beyond 2020 Change Programme to address ongoing savings for the new MTFS.					All Mgt Board		Thu-28-Feb-19			
Reduction	20/728 - Communicate and consult with the public to ensure understanding of financial position and consequences					CD SR		Sun-31-Mar-19			
Reduction	20/729 - Develop the next stage of the Savings and Transformation Programme beyond 2020 (see S&T Programme risk)					CD SR		Sun-31-Mar-19			
Reduction	20/1190 - Raise profile and continue to lobby MPs and Government in relation to DSG and High Needs funding (ongoing)					CD SR		Sun-31-Mar-19			
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	H	Financial	H	Services	M	Reputation	M	Category	2
Phase 5 - Fallback Plan											
								Action Manager			
Fallback Plan	20/504 - Further fundamental review in order to discharge statutory responsibilities							All Mgt Board			

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2018) – detailed**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (pw)**

Phase 1 - Identification											
Risk Number	20/194	Risk Title	20/194 - Major Failure due to Quality and/or Economic Issues in the Care Market					Risk Owner	CD HAS	Manager	HAS AD Q&E
Description	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.						Risk Group	Legislative	Risk Type	HAS Dir 3/162	
Phase 2 - Current Assessment											
Current Control Measures			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; Independent Sector Partnership B (ISPB); market analysis and mapping and information analysis (Locality Provider group); 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; heat map action plan; recommendations from the actual cost of care exercise implemented; QI team in place; funding for market improvement team agreed through BCF;								
Probability	H	Objectives	M	Financial	H	Services	M	Reputation	H	Category	I
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	20/468 - Continue to revise and update a market position statement (ongoing)						HAS AD C&Q	Sun-30-Jun-19			
Reduction	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; pursue opportunities for joint working between HAS and NHS with plans in place for health brokerage						HAS AD C&Q	Sun-30-Jun-19			
Reduction	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						HAS AD C&Q	Sun-30-Jun-19			
Reduction	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; more work being done to enhance regional ways of working; this continues, awaiting legal views on info sharing						HAS AD C&Q	Sun-30-Jun-19			
Reduction	20/474 - Work with Veritau on audits of individual suppliers (ongoing)						HAS AD C&Q	Sun-30-Jun-19			
Reduction	20/486 - Implement action plan following outcome of state of the market and ensure inclusion of NHS and Partners - ongoing (Make Care Matter joint recruitment in Scarborough and IBCF monies used for recruitment)						HAS HoHR	Sun-30-Jun-19			
Reduction	20/492 - Review any opportunities to stabilise the market through additional Govt funding given to social care for this purpose (review position each year for next 3 years of funding); IBCF being used for piloting an approach to rural dom care, supporting recruitment and training						CSD AD SR (AH) HAS AD C&Q	Tue-30-Apr-19			
Reduction	20/523 - 2020 Market shaping/development project work – completed the first piece of work and areas of work identified to commence priority projects						HAS AD C&Q	Mon-30-Sep-19			
Reduction	20/524 - Workforce group to develop and support workforce across the sector; regular item on the agenda on ISPB,						HAS HoHR	Sun-30-Jun-19			
Reduction	20/1166 - Carry out recruitment for quality and improvement team; recruitment to complete and then structure to embed						HAS AD C&Q	Mon-31-Dec-18			

Corporate Risk Register

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Reduction	20/1188 - Monitor issues caused by the complex partner relationships, meetings and structures and raise at HASLT where appropriate - ongoing	HAS AD C&Q	Sun-30-Jun-19	
Reduction	20/1197 - Begin the preparation for next Actual Cost of Care exercise; connected to green paper coming in autumn 18	HAS AD C&Q	Sun-30-Jun-19	
Phase 4 - Post Risk Reduction Assessment				
Probability	H	Objectives	M	Financial
			M	Services
			M	Reputation
			M	Category 2
Phase 5 - Fallback Plan				
				Action Manager
Fallback Plan	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.			HAS AD Q&E

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2018) – detailed**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (pw)**

Phase 1 - Identification											
Risk Number	20/205	Risk Title	20/205 - Schools Organisation 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 (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. 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, collaboration guidance and toolkit, review of planning areas to explore the level of need; framework for prioritisation of school organisation issues, briefings provided for elected Members and NY Education Partnership; involvement with White Paper strategic board; liaison with Education Funding Agency (EFA), DfE and Regional Schools Commissioner (RSC)								
Probability	H	Objectives	M	Financial	H	Services	M	Reputation	M	Category	I
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	20/538 - Continue to work with and use effective lobbying channels to achieve a fairer funding outcome for North Yorkshire on both revenue and capital eg Educational Building and Development Officers Group (EBDOG)						CSD AD SR (HE) CYPS AD E&S	Sat-31-Aug-19			
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 locally focused Multi Academy Trusts or other appropriate arrangements						CYPS AD E&S	Sat-31-Aug-19			
Reduction	20/540 - Assess implications for the market of changes to early years funding						CYPS AD E&S	Sat-31-Aug-19			
Reduction	20/541 - Continue to encourage, support and build capacity to enable schools to work collaboratively to seek to ensure continued viability and financial sustainability						CSD AD SR (HE) CYPS AD E&S	Sat-31-Aug-19			
Reduction	20/544 - Ensure consistent approach corporately to infrastructure funding, including CIL						CYPS AD E&S	Sat-31-Aug-19			
Reduction	20/545 - Continual review of the estate including maintenance requirement (ongoing) including developing proposals around the Special School and PRS estate						CSD AD SR (HE) CYPS AD Incl	Sat-31-Aug-19			
Reduction	20/546 - Exploit alternative sources of funding for the delivery of new school spaces and encourage free school applications where appropriate						CSD AD SR (HE) CYPS AD E&S	Sat-31-Aug-19			
Reduction	20/547 - Develop constructive relationships with the Regional Schools Commissioner and receive their practical support						CYPS AD E&S	Sat-31-Aug-19			
Reduction	20/548 - Work with the Property team to mitigate risks to the delivery of the 2017/18 and 2018/19 capital plans arising from the transfer of the contract with Mouchel to an in-house arrangement						CYPS AD E&S	Sat-31-Aug-19			
Reduction	20/723 - Implement an approach to support, challenge and, if necessary, intervene in school organisation to ensure that schools are financially sustainable in the medium-term.						CSD AD SR (HE)	Tue-31-Mar-20			
Reduction	20/725 - Work with Schools Planning where increasing the physical capacity is required to meet the need for increased childcare provision						CSD AD SR (HE) CYPS AD E&S	Sat-31-Aug-19			

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2018) – detailed**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (pw)**

Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	20/629 - Investigate failure and resolve; member briefings; media mgt									CD CYPS	

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2018) – detailed**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (pw)**

Phase 1 - Identification												
Risk Number	20/187	Risk Title	20/187 - Information Governance					Risk Owner	Chief Exec		Manager	CD SR
Description	Ineffective information governance arrangements lead to unacceptable levels of unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to Fol requests, and inability to locate key data upon which the Council relies resulting in loss of reputation, poor decision making, fine, etc						Risk Group	Legislative		Risk Type	CS 15/161	
Phase 2 - Current Assessment												
Current Control Measures			Additional data governance support; Information Governance Strategy including the associated Policy and Procedure Framework; CIGG Action Plan; data breach process; messages from senior management; staff induction; Info Gov on line training; 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); Fol – 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 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; targeted phishing campaigns; Information Sharing Protocol in place; SAR - controls include central monitoring of receipt and progress; service IARs updated; refreshed Information Governance page on intranet									
Probability	H	Objectives	M	Financial	M	Services	M	Reputation	H	Category	I	
Phase 3 - Risk Reduction Actions												
							Action Manager	Action by	Completed			
Reduction	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	Sat-31- Aug-19				
Reduction	15/424 - Continue to review information asset registers and target training where appropriate (ongoing)						CSD SR AD T&C Ho Int Audit	Sat-31- Aug-19				
Reduction	15/426 - Ensure individual information sharing agreements completed for each data sharing activity (some agreements are already in place) - (ongoing)						Ho Int Audit	Sat-31- Aug-19				
Reduction	15/431 - Continue to work within services in a prioritised order to ensure information is secure and transferred securely (ongoing)						CSD SR AD T&C	Sat-31- Aug-19				
Reduction	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	Sat-31- Aug-19				
Reduction	15/611 - Ensure Data Protection risks are managed to comply with GDPR (ongoing)						CSD SR AD T&C	Sat-31- Aug-19				
Reduction	20/450 - Complete Information Governance risk register						CSD SR AD T&C Ho Int Audit	Mon-31- Dec-18				
Phase 4 - Post Risk Reduction Assessment												
Probability	M	Objectives	L	Financial	M	Services	L	Reputation	M	Category	4	
Phase 5 - Fallback Plan												
										Action Manager		
Fallback Plan	15/514 - Review Action Plan and new technology and continue to raise awareness. Invite ICO to carry out an audit of NYCC IG systems									CD SR		

Risk Register: **month 0 (November 2018) – detailed**
Next Review due: **April 2019**
Report Date: **22nd November 2018 (pw)**

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2018) – detailed**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (pw)**

Phase 1 - Identification											
Risk Number	20/236	Risk Title	20/236 - Opportunities for Devolution and Growth in North Yorkshire				Risk Owner	Chief Exec	Manager	CD BES	
Description	Failure to take advantage of Devolution opportunities and to deliver the ambition of Sustainable Economic Growth, through for example the delivery of the right housing and transport whilst protecting the outstanding environment and heritage, resulting in reduced investment and impact on the growth and jobs, inability to attract, retain and grow businesses and raise living standards across North Yorkshire					Risk Group	Strategic	Risk Type	BES 7/174		
Phase 2 - Current Assessment											
Current Control Measures			<p>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; LA Director group in place; plan detailing powers and funding developed; consensus of Yorkshire local authorities on Devolution geography and opportunities;</p> <p>Growth - 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 supporting and developing the NYCC Infrastructure Delivery Steering Group/Growth Plan Steering Group; lead role in developing the NYCC Economic Growth Plan; NYCC Economic Growth Plan completed and approved by Executive; collaborative working arrangements with District Councils in place; the YNYERH Spatial Framework is in place as a basis for further development work; Action Plan completed;</p>								
Probability	H	Objectives	M	Financial	H	Services	H	Reputation	H	Category	I
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	20/246 - Continue to monitor the Devolution agenda and communication with stakeholders to maximise opportunities (ongoing); the greater Yorkshire geography is being used in some areas of growth work						BES AD GP&TS	Wed-31-Jul-19			
Reduction	20/364 - Devolution - Gain political support both locally and nationally (ongoing)						Chief Exec	Sun-31-Mar-19			
Reduction	20/549 - Growth - Carry out an annual review of progress of the NYCC Economic Growth and Delivery Plan and Action Plan (ongoing)						BES AD GP&TS BES GP&TS HoSP&EG	Sat-31-Aug-19			
Reduction	20/550 - Growth - Embed enhanced collaborative working arrangements with District Councils (annual review of progress) - ongoing						BES AD GP&TS	Sat-31-Aug-19			
Reduction	20/552 - Growth - Maintain good working relationship with the LEP (ongoing)						CD BES	Wed-31-Jul-19			
Reduction	20/553 - Growth - Understand and investigate any impacts of Brexit and ensure opportunities are taken						BES AD EPU CD BES	Wed-31-Jul-19			
Reduction	20/598 - Growth - Deliver the natural capital investment strategy environmental enhancement project via the Local Nature Partnership; good progress, ready to begin commissioning (LEP/LNP lead)						BES AD GP&TS	Sun-31-Mar-19			
Reduction	20/916 - Devolution - Establish the geography on which to secure Devolution (consensus of Yorkshire local authorities achieved, support from Govt Minister required)						Chief Exec	Sun-31-Mar-19			
Reduction	20/1397 - Devolution - Negotiate the economic barriers and opportunities which Devolution can take advantage of with Government (consensus of Yorkshire local authorities achieved, support from Govt Minister required)						CD BES	Sun-31-Mar-19			
Phase 4 - Post Risk Reduction Assessment											

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2018) – detailed**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (pw)**

Probability	M	Objectives	M	Financial	M	Services	M	Reputation	M	Category	4
Phase 5 - Fallback Plan											
											Action Manager
Fallback Plan	20/572 - Consider a North Yorkshire deal and review and revise existing arrangements for sustainable economic growth										CD BES Chief Exec

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2018) – detailed**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (pw)**

Phase 1 - Identification					
Risk Number	20/47	Risk Title	20/47 - Partnership and Integration with the NHS		
Description	Failure to shape and drive the configuration of the NHS from both a Commissioner and Provider perspective resulting in suboptimal maximisation of integration across the NYCC footprint, a negative impact on the customer experience and the possibility of fragmented care and poor outcomes			Risk Owner	Chief Exec
				Risk Group	Partnerships
				Manager	CD HAS
				Risk Type	CYPS 24/221 HAS 3/180

Phase 2 - Current Assessment					
Current Control Measures	<p>HAS: Effective HWB partnership with clear reviewed and revised - governance providing strategic leadership regarding H&W across the County; chief Officer representation influencing the development of STP/ICSS; HASLT locality delivery model in place actively shaping local integration plans; Joint leadership in Harrogate developing a new model of care building on the work of Vanguard; joint commissioning boards in Hamb/Rich and Scarborough/Ryedale CCGs underpinned by s75 agreements; investment of IBCF and BCF to protect social care; Joint Health and Well-being Strategy in place; corporate task and finish group for DToC in place; HWB development sessions; Integration and Better Care Fund Plan 2017/19 developed with CCGs and agreed at Health and Wellbeing Board; 2020 Health Programme focussing on integration established</p> <p>CYPS: H&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/leads for children 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; specifications for 0-5 healthy child service in place; 'Future in Mind' strategy reflects the needs of Children and Young People in N Yorkshire; tender process for future contracts; 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;</p>				
Probability	M	Objectives	M	Financial	H
				Services	M
				Reputation	M
				Category	2

Phase 3 - Risk Reduction Actions			
		Action Manager	Action by
Reduction	20/60 - Ensure that we account for the BCF funding as per the Regulations on a quarterly basis	CSD AD SR (AH)	Sat-31-Aug-19
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	Fri-31-May-19
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	Fri-31-May-19
Reduction	20/399 - Develop and implement joint commissioning plans with the CCGs and shape and influence models of primary community health and social care in each locality	HAS AD H&I	Tue-30-Apr-19
Reduction	20/402 - Ensure that additional social care funding is used in a sustainable way (ie non recurrent)	CD HAS CD SR	Sun-31-Mar-19
Reduction	20/451 - Agree and implement new models of care in all CCG localities building on primary care footprints of c30-50k of population	CD HAS	Sun-31-Mar-19
Reduction	20/452 - Engage wider HASLT in testing the implications of different integration models (ongoing)	HAS AD C&Q HAS AD H&I	Fri-31-May-19
Reduction	20/453 - Continue to monitor the impact of the challenge of having 3 STPs, including through Health scrutiny	HAS AD H&I	Fri-31-May-19

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Risk Register: **month 0 (November 2018) – detailed**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (pw)**

Reduction	20/457 - Continue to improve and sustain the DToC (Delayed Transfer of Care) performance to avoid financial penalties and reputational issues (ongoing)	HAS AD C&Q HAS AD C&S	Mon-30-Sep-19	
Reduction	20/458 - Consider MoUs for STP / ICS across the County that explicitly define the Council's involvement and engagement in these arrangements	CSD AD SR (AH) HAS AD H&I	Sun-30-Jun-19	
Reduction	20/477 - Ensure Healthy Child team and Prevention team collaborate effectively to deliver improved outcomes of Children, Young People and Families (ongoing)	CYPS C&F HoEP (PiP)	Mon-30-Sep-19	
Reduction	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	Mon-30-Sep-19	
Reduction	20/527 - Work with the commissioned provider to ensure Mental Health services are effective (ongoing)	CYPS C&F HoCP	Wed-31-Jul-19	
Reduction	20/528 - Continue to investigate opportunities for joint commissioning between Health and the Local Authority in terms of meeting the needs of children with SEND	CYPS AD Incl	Wed-31-Jul-19	
Reduction	20/529 - Continuously improve partnership with CYP & Families, Health Commissioners and SEMH providers through SEMH steering group and SEMH implementation plan	CYPS Incl HoE	Wed-31-Jul-19	
Reduction	20/531 - Continue with regular contract monitoring and quality assurance meetings with providers including annual formal on site commissioning visits	CYPS Comm Mgr Health	Wed-31-Jul-19	
Reduction	20/542 - Revise the arrangements for funding contributions between Health and the Local Authority for high cost placements	CSD AD SR (HE)	Sat-31-Aug-19	
Reduction	20/565 - Actively work with Partners on a new way for the health system to work in North Yorkshire	HAS AD H&I	Sun-31-Mar-19	
Reduction	20/724 - Agree the future of Commissioning and Provider Programme for the Healthy Child Programme 2020	CYPS Comm Mgr Health	Mon-31-Dec-18	
Reduction	20/1189 - Carry out preparations for potential CQC area review regarding integration through a range of activities	HAS LT	Sun-31-Mar-19	

Phase 4 - Post Risk Reduction Assessment

Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2
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Phase 5 - Fallback Plan

Fallback Plan	20/210 - Escalation to CMB and Executive Members, further engagement with senior tiers in NHS locally, regionally and nationally.	Action Manager	CD HAS
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Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2018) – detailed**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (pw)**

Phase 1 - Identification													
Risk Number	20/189	Risk Title	20/189 - Safeguarding Arrangements						Risk Owner	Chief Exec		Manager	CD HAS CD CYPS
Description	Failure to have a robust Safeguarding service in place results in risk to vulnerable children, adults and families and not protecting them from harm.						Risk Group	Safeguarding		Risk Type	CYPS 24/250 HAS 3/27		
Phase 2 - Current Assessment													
Current Control Measures			<p>CYPS – LSCB Safeguarding website; regularly reviewed procedures; practice standards issued to teams to support consistent practice; monthly performance data which is monitored regularly to seek assurance over key performance headlines; case file audit process; manager authorisation of all assessments; ICS; newly formed integrated family support service; training strategy; clear supervision process which is audited on a regular basis; strengthened Multi agency screening team (MAST); OFSTED 'outstanding' categorisation; delivery and implementation of the VEMT approach with the LSCB; working with colleagues and the CCG lead to ensure appropriate resources available for complex young people; Mgt file audit of case files against established assessment standards and staff supervision files; monitoring and management of performance against agreed targets in the SMT action plan</p> <p>HAS - Detailed action plan; Safeguarding general manager and team; strengthening of Safeguarding policy team; case file audit and review; independent chair to Safeguarding Board in place; risk enablement panel in place and being reviewed; countywide safeguarding general manager in place; testing of initial performance metrics for Safeguarding Board has taken place further developing performance activity; initial safeguarding procedures reviewed linked to consultation in light of the Care Act and are being reviewed again; safeguarding board performance framework; Q&E [protocol for the relationship between Adults Social Care (and Children's Trust) and the Health and Wellbeing Board agreed and implemented;] information framework for serious incident data, eg drug death etc in place</p>										
Probability	M	Objectives	H	Financial	M	Services	M	Reputation	H	Category	2		
Phase 3 - Risk Reduction Actions													
							Action Manager	Action by	Completed				
Reduction	20/374 - Ensure compliance with Safeguarding Board and Children and Families' procedures [CYPS]							CYPS AD C&F	Sat-31-Aug-19				
Reduction	20/376 - Continue the work with the MAST to strengthen responses to children and young people who are vulnerable to CSE by improved intelligence and information sharing arrangements [CYPS]							CYPS C&F HoS	Sat-31-Aug-19				
Reduction	20/377 - Ensure where there is a concern that a young person is being exploited that the CSE risk assessment tool is always completed [CYPS]							CYPS C&F HoS	Sat-31-Aug-19				
Reduction	20/378 - Ongoing Mgt file audit of case files against established assessment standards and staff supervision files [CYPS]							CYPS C&F SMT	Sat-31-Aug-19				
Reduction	20/379 - Monitoring and management of performance against agreed targets in the SMT action plan [CYPS]							CYPS C&F SMT	Sat-31-Aug-19				
Reduction	20/382 - Continue to feed into review of EDT arrangements (adult lead) as required [CYPS]							CYPS AD C&F	Sat-31-Aug-19				
Reduction	20/384 - Continuation of 'Practice Weeks' where managers will visit locations to observe and review practice [CYPS]							CYPS AD C&F	Sat-31-Aug-19				
Reduction	20/385 - Use and further development of performance dashboards to support individual managers [CYPS]							CYPS C&F HoS	Sat-31-Aug-19				
Reduction	20/456 - Continue to report regularly to HASLT, Care and Independence O&S Committee and Health and Wellbeing Board particularly in light of preparation for the latest policy and procedures. [HAS]							HAS AD H&I	Sun-31-Mar-19				
Reduction	20/487 - Continue to work with Quality and Engagement team to improve quality assurance (development of new approaches and tools around working with providers on quality assurance issues); including work and regular meetings with CQC, Health and Healthwatch [HAS]							HAS AD C&S HAS AD H&I	Tue-30-Apr-19				
Reduction	20/489 - Continue joint work with CYPS and the Community Safety Partnership (together with formal quarterly meetings of the InterBoard Network to be set up by Jun 2018) [HAS]							HAS AD H&I	Tue-30-Apr-19				

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Appendix A

Risk Register: **month 0 (November 2018) – detailed**

Next Review due: **April 2019**

Report Date: **22nd November 2018 (pw)**

Reduction	20/490 - Ensure training in respect of latest policies and procedures for elected Members, staff and Partners is reviewed and delivered [HAS]	HAS AD C&S	Sun-31-Mar-19	
Reduction	20/532 - Continue to bring in further staff whenever possible to address significant vacancies in the structure [HAS]	HAS AD C&S	Sat-31-Aug-19	
Reduction	20/534 - Carry out the supervisory body role for DoLS to ensure the system is as effective as possible within existing resources (reliant of Law Commission proposals that have been delayed – linked to action 20/615) [HAS]	HAS AD H&I	Mon-31-Dec-18	
Reduction	20/535 - Continue to ensure Partners are fully engaged with Safeguarding Boards centrally and locally, particularly new health partners (CCGs). Carry out review of local arrangements with Children's Safeguarding Board and Community Safety Partnerships [HAS]	HAS AD C&S HAS AD H&I	Fri-31-May-19	
Reduction	20/536 - Continue to embed safeguarding work to deliver the Transforming Care programme incl. embedding the care act role of Principal Social Worker and Safeguarding Board Manager with closer scrutiny of Transforming Care work [HAS]	HAS AD C&S	Sun-30-Jun-19	
Reduction	20/595 - Ensure in house provider workforce have appropriate training and development in this area [HAS]	HAS C&S Ho PS	Sun-30-Jun-19	
Reduction	20/596 - Continue to strengthen Governance arrangements in HAS following consideration of North Yorkshire and national safeguarding adult reviews (ongoing) [HAS]	HAS AD C&S	Fri-31-May-19	
Reduction	20/597 - Consider recommendations from commissioned independent review of safeguarding practice as part of the preparations for the implementation of the latest policy and procedures [HAS]	HAS AD C&S	Tue-30-Apr-19	
Reduction	20/615 - Continue with scoping work in preparation of implementing the Law Commission proposals (linked to action 20/534) [HAS]	HAS AD C&S HAS AD H&I	Mon-31-Dec-18	
Reduction	20/726 - Implement the new safeguarding policies and procedures (internal SG board is leading to ensure operational guidance is in place) [HAS]	HAS AD H&I	Tue-30-Apr-19	

Phase 4 - Post Risk Reduction Assessment

Probability	L	Objectives	H	Financial	M	Services	M	Reputation	H	Category	3
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Phase 5 - Fallback Plan

										Action Manager	
Fallback Plan	20/545 - Carry out necessary review of approach, target underperforming areas and take on lessons learned from any serious case reviews									CD CYPs CD HAS	

Linking of Directorate risks to the Corporate risk register November 2018

Health and Adult Services Risk Register	Corporate Risk Register	Rank	Children and Young People's Service Risk Register
<p>Transformation</p> <p>Failure to continue the transformation of care and support in a timely way such that savings are made, significant change and improvement is implemented and personal independence is maximised.</p>	<p>Brexit Arrangements</p> <p>The UK leaves the European Union with sub-optimal arrangements resulting in difficulties in recruitment, data protection, price uncertainty and supply chain difficulties, price pressures from contractors, increased demands on services from customers and businesses; and adverse impacts upon the local economy and infrastructure and environmental standards.</p>	1 1	<p>Cultural Change and Beyond 2020</p> <p>Failure to maintain a strong culture, processes and supporting capacity within CYPs to deliver Beyond 2020, savings targets and address national funding and policy changes</p>
<p>Financial Pressures</p> <p>Financial pressures arising from difficulties in delivering MTFS Savings requirements, managing in year financial overspends, Better Care Fund contributions, market pressure and complexity of client needs</p>	<p>Savings and Transformation Programme</p> <p>Failure to design and implement a coherent savings and transformation programme "Beyond 2020" which delivers the forecast funding shortfall resulting in short term and sub optimal savings decisions ie service cuts</p>	1 2	<p>Schools Organisation and Funding</p> <p>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.</p>
<p>Major Failure due to Quality and/or Economic Issues in the Care Market</p> <p>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.</p>	<p>Funding Challenges</p> <p>Inadequate funding available to the County Council to discharge its statutory responsibilities and to meet public expectation for the remainder of the decade.</p>	1 2	<p>Information Governance and Health and Safety</p> <p>Failure to ensure that good and safe governance arrangements in respect of data security and health and safety are in place throughout the Directorate</p>
<p>Information Governance and Health and Safety</p> <p>Failure to ensure that good and safe governance arrangements in respect of data security and health and safety are in place throughout the Directorate.</p>	<p>Major Failure due to Quality and/or Economic Issues in the Care Market</p> <p>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.</p>	1 2	<p>Partnership and Integration with Health</p> <p>Failure to develop and implement new models of care that will provide better outcomes for children and young people and local communities. This failure would have a negative impact on the development of integrated services, give rise to increased costs to CYPs and cause the loss of opportunities that joint provision may offer.</p>
<p>Partnership and Integration with the NHS</p> <p>Failure to shape and drive the configuration of the NHS from both a Commissioner and Provider perspective resulting in suboptimal maximisation of integration across the NYCC footprint, a negative impact on the customer experience and the possibility of fragmented care and poor outcomes.</p>	<p>Schools Organisation and Funding</p> <p>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.</p>	1 4	<p>Safeguarding Arrangements</p> <p>Failure to have a robust approach to Safeguarding in place results in risk to vulnerable children and families and not protecting them from harm.</p>
<p>Safeguarding Arrangements</p> <p>Failure to have an effectively monitored, robust, Safeguarding regime and partnership arrangements in place and ensure that we fulfil our wider lead authority role (under the Care Act).</p>	<p>Information Governance</p> <p>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</p>	1 4	<p>Business and Environmental Services Risk Register</p> <p>Delivering Change Programmes within BES</p> <p>Failure to embed a strong change culture, processes and supporting capacity to deliver ongoing programmes of change in BES e.g. the BES 2020 Change Programme.</p>
<p>Central Services Risk Register</p> <p>Savings and Transformation Programme</p> <p>Failure to design and implement a coherent savings and transformation programme "Beyond 2020" which delivers the forecast funding shortfall resulting in short term and sub optimal savings decisions ie service cuts</p>	<p>Opportunities for Devolution and Growth in North Yorkshire</p> <p>Failure to take advantage of Devolution opportunities and to deliver the ambition of Sustainable Economic Growth, through for example the delivery of the right housing and transport whilst protecting the outstanding environment and heritage</p>	1 4	<p>Statutory Duties</p> <p>Failure to carry out statutory duties or meet statutory deadlines (e.g. Health and Safety, safe guarding, information governance, prevention of waste pollution, planning responsibilities, statutory property related issues, driver/vehicle guidance) resulting in Corporate Manslaughter, increased cost/claims, fines/prosecution and criticism.</p>
<p>Central Services Savings Plan</p> <p>Failure to deliver the Central Services savings plan for the duration of the programme (up to 2020) resulting in inability to meet the budget, rationalise support services and enable the programme</p>	<p>Partnership and Integration with the NHS</p> <p>Failure to shape and drive the configuration of the NHS from both a Commissioner and Provider perspective resulting in suboptimal maximisation of integration across the NYCC footprint, a negative impact on the customer experience and the possibility of fragmented care and poor outcomes</p>	2 2	<p>Opportunities for Devolution in North Yorkshire and Consideration of a Combined Authority</p> <p>Failure to take advantage of Devolution opportunities in North Yorkshire resulting in reduced investment and impact on the growth and jobs across North Yorkshire.</p>
<p>Information Governance</p> <p>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</p>	<p>Safeguarding Arrangements</p> <p>Failure to have a robust Safeguarding service in place results in risk to vulnerable children, adults and families and not protecting them from harm.</p>	2 3	<p>Growth</p> <p>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</p>