

North Yorkshire County Council

Audit Committee

7 March 2019

Internal Control Matters for the Central Services Directorate

Report of the Corporate Director – Strategic Resources

1.0 Purpose of the report

- 1.1 To provide an update to Members of progress against the areas for improvement identified for Central Services (CS) Directorate in the Annual Governance Statement.
- 1.2 To provide details of the latest Risk Register for the CS Directorate.

2.0 Background

- 2.1 The Audit Committee is required to assess the quality and effectiveness of the corporate governance arrangements operating within the County Council. In relation to the CS Directorate, the Committee receives assurance through the work of internal audit (detailed in a separate report to the Committee), details of the areas of improvement in the Annual Governance Statement (AGS), together with the Directorate Risk Register.

3.0 Directorate update

Alternative 'Commercial' Investments

- 3.1 In August 2017 the Executive approved an alternative investment framework with £50m earmarked for longer term, commercial investment. This was in response to the financial environment and low Bank Base Rate (BRR) which meant that the Council was (and still is) getting incredibly low returns on traditional investment of the Council's cash balances. Some 17 months on from the initial approval, the Executive have received a report reviewing the work done to date, the lessons learned and proposals going forward.
 - 3.1.1 The approach seeks to identify, assess and implement longer term (5 years plus) investment decisions including an element that targets commercial returns whilst ensuring the Council has access to sufficient cash to manage its day to day operations. Based on the work done to date, the following lessons have been learned:
 - Whilst improved returns are expected from these investments the resource input required from within and external to the Council is also significant. Each proposition requires careful assessment of the market, the legal issues, and the risks and the returns expected in order to inform a robust business case.

- The competitive nature of the market for these investments means that a degree of failure to secure investments is to be expected and indeed some business case work will be abortive as some investments will not be considered appropriate for investment. Where possible early sifting of proposals aims to focus efforts on opportunities worth pursuing but inevitably not all business cases will result in a successful acquisition.
- Appropriate due diligence is crucial in order to take decisions for investment and it is important that timely expert advice is sought when necessary, in order to adequately assess the potential risks and rewards from such opportunities.

3.1.2 To date good progress has been made on alternative investments and together this new approach has secured estimated annual revenue savings/income of £1,842k a margin of £1,510k over traditional treasury management returns.

3.1.3 Experience has shown that the commercial investment market is highly competitive and accordingly our guideline returns have been scaled back to 5%.

3.1.4 Of the initial £50m earmarked for investment, £31m remains available but some changes to the approved thresholds and delegations were agreed by the Executive at their meeting in January:

- The total amount for alternative investment has been increased to £60m;
- The local growth and commercial investment limits has been combined into a single limit of £20m;
- The limit for loans to NYCC companies has been increased to a total of £25m;
- The delegations to the Commercial Investment Board (formally through the Corporate Director Strategic Resources) has been extended to a limit of £2.5m (from £1m) per investment and up to a total of £10m (from £5m) in any one financial year.

3.1.5 Further work to pursue the options within the approved framework will be undertaken over the next 12 months with a focus on: commercial property acquisition, affordable housing loans, and exploration of investment in solar energy.

Property Update

3.2.1 Savings to date total £594k through activity in a combination of areas:

- Completion of Scarborough rationalisation delivering c£150k of saving to date.
- Work around the Harrogate area, including vacating Highfield House, saving c£200k.
- The remaining c£250k being delivered across Skipton, Selby, Whitby and a high street site in Northallerton.

3.2.2 Approval for and commencement of Northallerton rationalisation programme including essential works to Brierley campus where preparation is currently underway for decant arrangements in spring/summer 2019.

3.2.3 Review of likely achievement of savings; now expect to deliver savings target over a longer period of time taking opportunities to terminate some leases on office buildings and with some assumptions around some service delivery. The MTFs has been updated to account for the re-profiled savings moving the remaining £856k target out to 2021/22.

3.2.4 It is important the property strategy remains flexible to accommodate changing service needs, examples include working with Harrogate Alliance which may present opportunities to co-locate, One Public Estate and work with other partners and increased use of technology to reduce requirement for office space.

Information Security

3.3 Information Governance is one of the key risks in the Directorate Risk Register, as such a number of actions have taken place with the following progress:

- All relevant staff have completed mandatory online training for Data Protection, encompassing GDPR awareness.
- An Information Governance Group has been established within Central Services and meets on a routine basis to discuss issues and raise awareness.
- Information Asset Owners have been identified for high risk information assets and have undertaken the necessary training.
- Data Protection Impact Assessments are now mandatory for all new projects or activities involving the processing of personal information.
- All Information Sharing Agreements are now being stored within the Information Sharing Gateway – a central information sharing repository developed by IG Specialists within NHS Trust.
- A GDPR intranet micro-site has been developed to provide staff with guidance and support in relation to data protection and information governance best practice.
- There is a continuing process to raise awareness of information risks and communicate with staff to ensure good Information Governance practices are followed. This includes key messages and blogs on information security and governance.
- There has been a demonstrable improvement in information security compliance based on security sweeps conducted by Veritau over the last 12 months.
- A GDPR Compliance and Security Statement has been published on the NYCC website, alongside GDPR compliant privacy notices.
- Central Services are in the process of varying supplier contracts to ensure they are compliant with GDPR.
- Reported breaches continue to be investigated and mitigations implemented to endeavour to prevent any further occurrence

Further detail can be found in Information Governance Annual Report.

IT Security

- 3.4.1 In November 2018 T&C with the help of NYCC Resilience Team and The Ministry of Housing, Communities and Local Government's (MHCLG) Red Team carried out a Cyber Response Workshop. The aim of Exercise "Incident Roving-Storm" was to explore the individual and multi-agency impacts of a significant cyber incident in the local area. It also looked at the role that both individual agencies and the Local Resilience Forum collectively, can play to co-ordinate and manage the consequences of such an incident.

The feedback following the exercise was excellent and T&C intend to carry out further exercises with Council Directorates to assess cyber incidents response within business continuity and disaster recovery plans.

- 3.4.2 The recent ISO 27001:2013 audit demonstrated that Technology and Change (T&C) continue to provide reliable documentation of how the Information Security Management System (ISMS) is achieving the intended outcomes, and how T&C is now focusing its efforts on maturing and improving the ISMS in order to further optimise the business benefits.
- 3.4.3 With the GCSx secure email system scheduled to cease from 1st April 2019, T&C have been working on a nationally recognised alternative for passing secure emails to other public sector bodies. To this end we have implemented the National Cyber Security Centre (NCSC) guidance to secure our gov.uk email.

4.0 Directorate Risk Register

- 4.1 The **Directorate Risk Register** (DRR) is produced initially from a review of risks at Service Unit level, which are then aggregated via a sieving process to Directorate level. This end product similarly aggregates these Directorate level risks into the Corporate Risk Register.
- 4.2 The Risk Prioritisation System adopted to derive risk registers categorises risks as follows:
- Category 1 and 2 are high risk (RED)
 - Category 3 and 4 are medium risk (AMBER)
 - Category 5 is low risk (GREEN)

The DRR represents the principal risks that may materially impact on the performance and financial outcomes of the Directorate.

- 4.3 The latest detailed DRR is shown at **Appendix A** showing a range of key risks with existing controls and additional actions to minimise them. The detail also shows a ranking of the risks both at the present time and after mitigating action.
- 4.4 A summary of the DRR is also attached at **Appendix B**. As well as providing a quick overview of the risks and their ranking, it also provides details of the change or movement in the ranking of the risk since the last review in the left hand column.

- 4.5 An annual and six month review of the Risk Register has taken place since the last report to this Committee. The Risk Register reflects the range of Services but also includes many corporate initiatives given the leadership role of Central Services on such issues as the 2020 North Yorkshire Programme and beyond, and Performance Management.
- 4.6 Some examples of changes and actions that have been completed relating to particular risks since the last report to the Committee include:
- Savings and Transformation Programme – this risk is the refreshed and updated 2020 Change Programme risk and takes into account ‘Beyond 2020’.
 - Information Governance – a dedicated risk register has been developed and includes any outstanding actions relating to GDPR.
 - Stronger Communities - Management Board have approved the progress of exploring certain projects including the potential to establish community managed Children and Family Services and for trained volunteers to work in schools to support children with additional needs.
 - Organisational Performance Management – the ranking on this risk has been reduced from 2/3 to 3/3 as a result of good progress with new the Strategic Performance Framework.
 - Commercial Strategy – the production and presentation of Brierley Group Performance reports takes place on a regular basis, and the selection criteria to win bids for commercial opportunities to optimise rewards has been embedded.
 - Major Emergencies in the Community – the “Ready for Anything” initiative was launched in December 2018 and contribution continues to the multi-agency collaborative approach to maximise the support spontaneous and established volunteer groups provide in emergencies. There has also been input to and engagement with the national learning and development of best practice following Grenfell, attacks in London and Manchester and lessons from Northamptonshire and other authorities under pressure. The Gold Symposium was held in November 2018 to embed lessons from these incidents.

5.0 Recommendation

5.1 That the Committee:

- i) Note the position on the Central Services Directorate key governance issues;
- ii) Note the Directorate Risk Register for the Central Services Directorate; and
- iii) Provide feedback and comments on the Directorate Risk Register and any other related internal control issues.

GARY FIELDING
Corporate Director, Strategic Resources
March 2018

Risk Register: month 6 (Jan 2019) – detailed

Next review due: July 2019

Report Date: 24th January 2019 (pw)

Phase 1 - Identification											
Risk Number	15/161	Risk Title	15/161 - 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 FoI 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	Corp 20/187		
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; on-line training; staff induction; Information Asset Owners identified; information asset registers; Internal Data Governance team with an identified representative for each Directorate (replacing DIGCs); Veritau appointed as DPO; posters; intranet information; regular monitoring of electronic communication by T&C; 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; virtual Directorate Group; Veritau investigate 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 campaign; 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	L	Financial	M	Services	L	Reputation	H	Category	1
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	Mon-31-Dec-18			
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	L	Financial	M	Services	L	Reputation	H	Category	2

Risk Register: month 6 (Jan 2019) – detailed

Next review due: July 2019

Report Date: 24th January 2019 (pw)

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 6 (Jan 2019) – detailed

Next review due: July 2019

Report Date: 24th January 2019 (pw)

Phase 1 - Identification											
Risk Number	15/11	Risk Title	15/11 - 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	Corp 20/207		
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	I
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	15/638 - 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	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				

Risk Register: month 6 (Jan 2019) – detailed

Next review due: July 2019

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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								
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

Risk Register: month 6 (Jan 2019) – detailed

Next review due: July 2019

Report Date: 24th January 2019 (pw)

Phase 1 - Identification											
Risk Number	15/184	Risk Title	15/184 - Central Services Savings Plan				Risk Owner	Chief Exec		Manager	CSD Mgt Team
Description	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					Risk Group	Financial		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			CS Management Team meetings; CS 2020 Programme Manager; CS Programme updates to CSMT and Programme Board; individual project monitoring regimes with RAG status; nominated lead officers and associated governance structure; CS programme plan; business mandates; briefs and business cases as appropriate; savings re-profiled and included in budget/MTFS report (Feb 2018)								
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	15/182 - Ongoing review of impact at Management Teams and overall consideration at CSMT					CD SR	Mon-30-Sep-19				
Reduction	15/183 - Periodic reviews at 2020NY Programme Board					CD SR	Mon-30-Sep-19				
Reduction	15/184 - Implementation of plans of individual projects					CSD Mgt Team	Mon-30-Sep-19				
Reduction	15/185 - Pursuit of additional income as part of commercialisation agenda					CSD Mgt Team	Mon-30-Sep-19				
Reduction	15/721 - Formulation of Beyond 2020 which may develop further ideas for savings in Central Services					CSD Mgt Team	Thu-28-Feb-19				
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	M	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	15/540 - Review savings plan and implement alternative savings								Action Manager		Chief Exec

Risk Register: month 6 (Jan 2019) – detailed

Next review due: July 2019

Report Date: 24th January 2019 (pw)

Phase 1 - Identification											
Risk Number	15/186	Risk Title	15/186 - Stronger Communities				Risk Owner	Chief Exec	Manager	CSD AD PPC	
Description	Failure to develop and implement greater community capacity to provide sustainable local support and services, within the context of reduced government funding, including the need for services to resource the transformation resulting in further reduced services in the community, missed opportunities relating to community libraries, universal and early intervention provision for children, young people and families, school readiness, community transport and care and prevention services for older and vulnerable adults					Risk Group	Community	Risk Type	PPC 343/232		
Phase 2 - Current Assessment											
Current Control Measures			Stronger Communities team; governance structure and controls; engagement with relevant services; implementation plans; budget; key stakeholders including voluntary sector, district, parish and town council sector; health partners; grants scheme; community project development; NY Connect; reviewed community project toolkit; engagement events with communities; working with other relevant council services e.g. Targeted Prevention shared outcome framework; project plans in place for 21 priority strategic projects (Achieve Programme); volunteers policy, guidance & toolkit; preferred supplier list for external support in place; on-line grants system; SLA agreed and signed with Public Health; Connected Communities project (Sleights); independent evaluation of the programme procured;								
Probability	M	Objectives	L	Financial	H	Services	M	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	15/361 - Engagement with services to plan with Stronger Communities interventions (ongoing)					CSD PPC HoStrC	Fri-31-May-19				
Reduction	15/372 - Further engagement with external partners (ongoing)					CSD PPC HoStrC	Fri-31-May-19				
Reduction	15/373 - Engagement with elected Members in all areas (ongoing)					CSD PPC HoStrC	Fri-31-May-19				
Reduction	15/435 - Continue to develop volunteer strategy and produce products to support and encourage volunteering (ongoing)					CSD PPC HoStrC	Fri-31-May-19				
Reduction	15/654 - Undertake a five year longitudinal, formative, and summative evaluation of the whole Programme impact					CSD PPC HoStrC	Sun-30-Jun-19				
Reduction	15/655 - Children's Centres and School Readiness - Explore the potential to establish community managed Children and Family Services Centres through the asset transfer of Children's Centres or by utilising existing community assets; Learn from libraries - 3 initial pilots in Tadcaster, Sherburn and Ripon					CSD PPC HoStrC	Fri-31-May-19				
Reduction	15/656 - Domiciliary Care Explore local social and micro enterprise models for Social Care looking at the role of the VCSE sector and volunteers in the provision of non-regulated care;					CSD PPC HoStrC	Fri-31-May-19				
Reduction	15/657 - SEND Schools: Explore the potential for trained volunteers working in schools to support children with additional needs.					CSD PPC HoStrC	Fri-31-May-19				
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	H	Services	M	Reputation	M	Category	3
Phase 5 - Fallback Plan											

Risk Register: **month 6 (Jan 2019) – detailed**

Next review due: **July 2019**

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		Action Manager
Fallback Plan	15/519 - Review implementation plans and engage further with services, external partners and elected Members	CSD PPC HoStrC

Risk Register: month 6 (Jan 2019) – detailed

Next review due: July 2019

Report Date: 24th January 2019 (pw)

Phase 1 - Identification											
Risk Number	15/162	Risk Title	15/162 - Capacity and Skills				Risk Owner	Chief Exec	Manager	CSD Mgt Team	
Description	A lack of capacity and skills within Central Services leads to a significant decline in service quality &/or insufficient progress in carrying out required developments (although this risk is ranked in phase 4 as a 4, it feels more like 3 high amber, but it is not a low probability with a high impact)					Risk Group	Capacity	Risk Type	SR 32/27		
Phase 2 - Current Assessment											
Current Control Measures			Various restructures across Central Services in order to improve resilience; mapping for required 2020NY resource in place; periodic consideration of resource gaps and one off money to fill; regular review by CSMT; regular resource papers submitted to CSMT for consideration; regular conversations around hotspots at CSMT; 2020 resources review led by PMO; savings re-profiled and included in budget/MTFS report (Feb 2018)								
Probability	H	Objectives	M	Financial	L	Services	M	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	15/111 - Regularly perform skills gap analysis and review succession planning based on current and future requirements and use to inform CS workforce training plan and monitor effectiveness					CSD Mgt Team	Sat-31-Aug-19				
Reduction	15/181 - Ongoing review of service structures to ensure fit for purpose going forward including post implementation reviews					CSD Mgt Team	Sat-31-Aug-19				
Reduction	15/448 - Ensure staff and managers are aware of opportunities to invest in initiatives to improve productivity					CSD Mgt Team	Sat-31-Aug-19				
Reduction	15/475 - Continue to prioritise and manage pressures on services on an ongoing basis					CSD Mgt Team	Sat-31-Aug-19				
Reduction	15/520 - Identify means of securing capacity for professional areas where there is a shortfall for example ICT technical and Legal					CSD SR AD T&C	Sun-31-Mar-19				
Reduction	15/590 - Collate / Review and revise approach on customer feedback on quality of services					CSD Mgt Team	Sat-31-Aug-19				
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	L	Services	M	Reputation	L	Category	4
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	15/515 - Review and revise resource allocation where possible and consider additional funding and capacity where required								CSD Mgt Team		

Risk Register: month 6 (Jan 2019) – detailed

Next review due: July 2019

Report Date: 24th January 2019 (pw)

Phase 1 - Identification											
Risk Number	15/201	Risk Title	15/201 - Commercial Strategy				Risk Owner	Chief Exec		Manager	CSD Mgt Team
Description	Failure to successfully secure commercial opportunities within the Council resulting in lost net income to support budget savings, unresilient service, unskilled and insecure workforce.					Risk Group			Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			NYES with strategy (to be updated); Commercial Board; existing Commercial strategy (to be updated); action plan in place; initial commercial challenge sessions have taken place; website with ability of customers to buy on line; relationship managers liaise between the Heads of Traded Services and customers; Exec subcommittee and Brierley Board established as part of governance arrangements; Brierley Group Performance report; selection criteria to win bids for commercial opportunities to optimise rewards determined; cash invested in commercial opportunities where appropriate;								
Probability	H	Objectives	M	Financial	M	Services	M	Reputation	L	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	15/246 - Review and refresh the Commercial Strategy and communicate to stakeholders including staff (review by end March 2019, refresh by end of Sept 2019)						CSD AD SR (ML)	Mon-30-Sep-19			
Reduction	15/247 - Production and presentation of Brierley Group Performance reports						CSD AD SR (ML)	Mon-30-Apr-18	Mon-30-Apr-18		
Reduction	15/521 - Invest cash in commercial opportunities where appropriate (ongoing)						CSD AD SR (KI)	Sun-31-Mar-19			
Reduction	15/522 - Determine selection criteria to win bids for commercial opportunities to optimise rewards						CSD AD SR (ML)	Sat-31-Mar-18	Sat-31-Mar-18		
Reduction	15/609 - Review and refresh training modules on commercial and take appropriate actions						CD SR	Tue-31-Mar-20			
Reduction	15/610 - Refresh of NYES strategy, business plan and approach						CSD SR NYES Com Dir	Sun-30-Jun-19			
Reduction	15/652 - Explore other potential commercial enterprises for example HAS and CYPs commercial opportunities; decide and prioritise which propositions should go ahead; build the proposition and go to market (ongoing)						CSD AD SR (ML)	Sat-31-Aug-19			
Reduction	20/375 - Embed selection criteria to win bids for commercial opportunities to optimise rewards (roll-out plan to be confirmed; method of embedding the selection criteria to be discussed and agreed with Leadership teams)						CSD AD SR (ML)	Mon-31-Dec-18	Mon-31-Dec-18		
Reduction	20/381 - Develop and implement an internal communications plan to publicise the Commercial Strategy						CSD AD SR (ML) CSD HoC	Tue-31-Mar-20			
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	L	Category	4
Phase 5 - Fallback Plan											
										Action Manager	

Risk Register: **month 6 (Jan 2019) – detailed**

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<p>Fallback Plan</p>	<p>15/550 - Review financial position and invoke budget cuts as necessary</p>	<p>CSD Mgt Team</p>
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Risk Register: month 6 (Jan 2019) – detailed

Next review due: July 2019

Report Date: 24th January 2019 (pw)

Phase 1 - Identification											
Risk Number	15/180	Risk Title	15/180 - Customer Programme				Risk Owner	Chief Exec		Manager	CSD SR AD T&C
Description	Failure to implement a Customer Programme that meets the needs and demands of our customers and supports the necessary service redesigns, achieves savings and improves performance and customer satisfaction					Risk Group	Change Mgt		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Customer board with reps from each NYCC directorate and appropriate cross cutting themes; Customer working group; 2020 Customer Theme; regular updates to Programme Board; regular slots at directorate leadership team meetings; regular meetings with the directorate 2020 programme leads; Directorate project briefs relating to 2020 Customer Theme reviewed and developed within the Customer pipeline; risk log; communications plan; governance structure and arrangements in place; mechanism for resources in place; training package in place and training completed with customer facing teams;								
Probability	M	Objectives	M	Financial	M	Services	H	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	15/253 - Continue to embed Customer principle into NYCC redesign of services and ensure the necessary culture change in the organisation (e.g. by attending Leadership teams, challenging Directorates and being involved in business case design stage) such that it becomes the new 'business as usual'						CSD SR AD T&C	Tue-30-Apr-19			
Reduction	15/259 - Develop and implement Corporate KPIs for Customer Programme; KPIs developed (by Mar 2019) and will be rolled out over the coming months						CSD SR AD T&C	Sun-31-Mar-19			
Reduction	15/515 - Continue to work through the pipeline of customer journey mapping and LEAN reviews for Service projects (approx. 20 projects per year) (ongoing)						CSD SR AD T&C	Wed-31-Jul-19			
Reduction	15/614 - Regular review of Service performance in line with Customer Principles for those within the Customer Programme (ongoing)						CSD SR AD T&C	Wed-31-Jul-19			
Reduction	333/567 - Ensure delivery of channel shift (from face to face, to telephone, to on line) (ongoing)						CSD SR AD T&C	Wed-31-Jul-19			
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	M	Category	4
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan	15/543 - Reprofile the plan to stage service redesign								CSD SR AD T&C		

Risk Register: month 6 (Jan 2019) – detailed

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Report Date: 24th January 2019 (pw)

Phase 1 - Identification												
Risk Number	15/183	Risk Title	15/183 - Health & Safety					Risk Owner	Chief Exec		Manager	CD SR
Description	Major Corporate Health and Safety failure resulting in injuries, claims, reputational and service delivery impact and possible prosecution					Risk Group	Legislative		Risk Type	Corp 20/389		
Phase 2 - Current Assessment												
Current Control Measures			HSRM Service Plan feeding into Directorate Action Plans; H&S team; Corporate H&S Policy; Corporate and Directorate H&S procedures; intranet and NYES sites; Directorate RM groups; H&S Champions and lead officers; reporting on a regular basis; on-going H&S risk assessment, training, monitoring and audit; managers' and employees' online H&S training and other modules; health and safety function within NYCC (3rd stage) reviewed; shared service with City of York Council									
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	H	Category	3	
Phase 3 - Risk Reduction Actions												
							Action Manager	Action by	Completed			
Reduction	15/248 - Continue delivery of the programme of H&S monitoring of audits and inspections (ongoing)						CSD SR HoHSRM	Sat-31-Aug-19				
Reduction	15/255 - Ensure appropriate operating standards of H&S risk assessments exist and are being implemented locally						CSD SR HoHSRM	Sat-31-Aug-19				
Reduction	15/257 - Review and revise the corporate H&S procedures alongside alignment with the safety management system (ongoing)						CSD SR HoHSRM	Sat-31-Aug-19				
Reduction	15/417 - Consider H&S implications of significant changes for delivery of services within the Council and factor into Directorate H&S action plans (ongoing)						CSD SR HoHSRM	Sat-31-Aug-19				
Reduction	15/651 - Ensure understanding of H&S operating environment of NYCC through regular attendance at Corporate and Directorate Risk Management Groups, and develop H&S Improvement Plans which are agreed by the relevant Groups. (ongoing)						CSD SR HoHSRM	Sat-31-Aug-19				
Phase 4 - Post Risk Reduction Assessment												
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	H	Category	3	
Phase 5 - Fallback Plan												
									Action Manager			
Fallback Plan	15/538 - Liaise with HSE, media management, implement fatal/serious injury response guide							CSD SR HoHSRM				

Risk Register: month 6 (Jan 2019) – detailed

Next review due: July 2019

Report Date: 24th January 2019 (pw)

Phase 1 - Identification											
Risk Number	15/166	Risk Title	15/166 - Organisational Performance Management				Risk Owner	Chief Exec	Manager	CD SR	
Description	Failure to align the performance management framework with budget planning and financial performance results in inefficiencies, reduction in value for money; loss of reputation and suboptimal financial savings					Risk Group	Performance	Risk Type	PPC 343/233		
Phase 2 - Current Assessment											
Current Control Measures			Corporate Performance Management Framework including a corporate performance indicator suite; quarterly reports to Exec; Management Board, Policy, Strategy and Consultation Group; review of Q performance reports including deep dive reports in challenging areas; guidance for service plans in place; service plans in place; approval for prioritisation of BI dashboard production alongside agreed design principles; regular performance meetings across the organisation; IPM system in place Jan2018; enhanced Strategic Support service; corporate KPIs developed; relationship built with lead business partners (SRMT);								
Probability	L	Objectives	H	Financial	M	Services	H	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	15/425 - Further develop a closer alignment of Council planning and MTFs, for example BEST reviews (ongoing)					CSD PPC HoS&P	Tue-30-Apr-19				
Reduction	15/447 - Ensure robust support from corporate Management Board for regular performance meetings within services/teams (ongoing)					CSD PPC HoS&P	Fri-31-May-19				
Reduction	15/509 - Continue to work with Organisational Development on integrating performance management with the overall performance management framework					CSD PPC HoS&P	Fri-31-May-19				
Reduction	15/511 - Develop and implement a programme for performance dashboards built on risk based prioritisation and the Performance Management Framework					CSD PPC HoS&P	Fri-31-May-19				
Reduction	15/653 - Take a performance data led approach to identify opportunities for improving VFM and efficiency					CSD PPC HoS&P	Thu-28-Feb-19				
Reduction	343/731 - Complete the post implementation review and develop a plan for implementation of required improvements					CSD PPC HoS&P	Tue-30-Apr-19				
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	H	Financial	M	Services	M	Reputation	M	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	15/518 - Fundamental review of approach							Action Manager			
								CD SR			

Risk Register: month 6 (Jan 2019) – detailed

Next review due: July 2019

Report Date: 24th January 2019 (pw)

Phase 1 - Identification											
Risk Number	15/200	Risk Title	15/200 - Major Emergencies in the Community				Risk Owner	Chief Exec		Manager	Chief Exec
Description	Failure to plan, respond and recover effectively to major emergencies in the community resulting in risk to life and limb, impact on statutory responsibilities, impact on financial stability and reputation					Risk Group	Performance		Risk Type	PPC 343/234	
Phase 2 - Current Assessment											
Current Control Measures			NYLRF and RMCI; experience and resources of partners; existing plans incl public health (training and exercises); RET; partnership working with District Councils; community resilience; silver response in the County Council major incident plan tested; approach to BCP refreshed to strengthen service resilience; Resilience Direct portal; regional multi agency pandemic exercise held; effectiveness and robustness of resilience plans relating to the public health and social care of the NY population tested; NYCC action plan developed and implemented based on the debrief report recommendations and all multi agency learning (including the flood reporting tool and simplification of information flow); members of national steering group on volunteers; BCP post audit action plan;								
Probability	L	Objectives	L	Financial	H	Services	L	Reputation	H	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	15/593 - Contribute to multi agency collaborative approach to maximising the support spontaneous and established volunteer groups provide in emergencies (ongoing); "Ready for Anything" launched Dec '18					CSD PPC HoR&E	Sat-31-Aug-19	Mon-31-Dec-18			
Reduction	15/594 - Input to and engagement with national learning and development of best practice following Grenfell, attacks in London and Manchester and lessons from Northamptonshire and other authorities under pressure; Gold Symposium held in Nov '18 to embed lessons from these incidents					CSD PPC HoR&E	Sat-31-Aug-19	Fri-30-Nov-18			
Reduction	20/463 - Develop and implement an action plan following the outcome of an internal audit into BCP					CSD PPC HoR&E	Mon-31-Dec-18	Fri-30-Nov-18			
Reduction	20/464 - Through NYLRF, consider, understand and prepare for any threats that Brexit may bring to the Authority					CSD AD PPC	Sun-31-Mar-19				
Reduction	20/970 - Continue to ensure effective co-ordination and communication with County and District/Borough Council services & NYLRF in light of reduction in resources (ongoing)					CSD AD PPC	Sat-31-Aug-19				
Reduction	20/971 - Continue to ensure effective and efficient processes are embedded amongst all partners to prioritise workstreams (incl. plans, training and exercises) (ongoing)					CSD AD PPC	Sat-31-Aug-19				
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	H	Services	L	Reputation	M	Category	3
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	20/207 - Review and prioritise resources dependent on nature and impact of event (inc effective media management)								Chief Exec		

Risk Register: month 6 (Jan 2019) – detailed

Next review due: July 2019

Report Date: 24th January 2019 (pw)

Phase 1 - Identification											
Risk Number	15/29	Risk Title	15/29 - Corporate Governance and Ensuring Legality				Risk Owner	Chief Exec	Manager	CSD ACE LDS	
Description	Failure to ensure adequate Corporate Governance arrangements across the County Council to ensure that the Council acts lawfully in its operations and decision making resulting in inadequate control and stewardship; given the environment of greater risk taking and expansion of the types of activities the Council is now involved in resulting in challenge and non delivery of decisions, financial implications and loss of reputation particularly given service and statutory obligations					Risk Group	Legislative	Risk Type	LDS 17/6		
Phase 2 - Current Assessment											
Current Control Measures			Lawyers and DSO's engage with 2020 Programme and services; delegation scheme; constitution; training; legislation monitoring and advice notes/briefings; increased monitoring of committee reports; ACE LDS on MB; Proforma for Executive Reports covering major issues; Monitoring complaints and commendation policy and system; monitoring of the Forward Plan; Democratic Services IT system; compliance with rules on access to information; Corporate Governance Officers Group; Local Code of CG; Corporate Governance Checklist; Annual Governance Statement; Statements of Assurance across the Council; Controls in Risk management, Business Continuity and Information Governance; views of external Auditors; Audit Committee in-depth consideration; LGA corporate peer review; GDPR impacts understood								
Probability	M	Objectives	L	Financial	M	Services	M	Reputation	M	Category	4
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	15/57 - Continue to ensure effective monitoring of governance and operational requirements of new legislation (eg. Health Integration, Combined Authorities) and make sure services and teams are aware impact on their areas					CD SR CSD ACE LDS	Wed-31- Jul-19				
Reduction	15/251 - Continue to ensure compliance with rules on access to information					CSD ACE LDS	Wed-31- Jul-19				
Reduction	15/369 - Review decision and procedures after a successful challenge					CSD ACE LDS	Wed-31- Jul-19				
Reduction	15/370 - Ensure early legal advice is provided within the 2020 Programme which is particularly important due to diminishing resources (ongoing until 2020)					CSD ACE LDS	Tue-31- Mar-20				
Reduction	15/449 - Continue to provide governance and legal advice on key issues (eg. impact of devolution or brexit)					CD SR CSD ACE LDS	Wed-31- Jul-19				
Reduction	15/512 - Carry out review of Governance Framework in line with latest guidance					CD SR	Wed-31- Jul-19				
Reduction	15/513 - Annual Review of Corporate Governance Arrangements by Audit Committee					CD SR	Wed-31- Jul-19				
Reduction	15/824 - Continue to strengthen links with Directorates including liaison by Monitoring Officer and team with Directorates and ensure consultation on legality of major initiatives					CSD ACE LDS	Wed-31- Jul-19				
Reduction	15/825 - Ongoing monitoring of committee reports and decision making to ensure Council decision making takes account of relevant considerations including EIAs and consultation requirements					CSD ACE LDS	Wed-31- Jul-19				
Reduction	17/502 - Ensure we continue to provide adequate support to the newer councillors to enable them to make appropriate decisions within the legislative framework					CSD ACE LDS	Wed-31- Jul-19				
Phase 4 - Post Risk Reduction Assessment											

Risk Register: month 6 (Jan 2019) – detailed

Next review due: July 2019

Report Date: 24th January 2019 (pw)

Probability	M	Objectives	L	Financial	M	Services	M	Reputation	M	Category	4
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	15/169 - Review failing areas in existing arrangements and plan for improvement										CSD ACE LDS

Central Services Directorate

Appendix B

Risk Register: month 6 (Jan 2019) – summary

Next review due: July 2019

Report Date: 24th January 2019 (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
◀▶	15/161 - 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	L	M	L	H	1	7	31/08/2019	M	L	M	L	H	2	Y	CD SR
◀▶	15/11 - 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	14	31/03/2019	M	H	H	H	H	2	Y	All Mgt Board
◀▶	15/184 - Central Services Savings Plan	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	Chief Exec	CSD Mgt Team	M	M	H	M	M	2	5	28/02/2019	L	M	H	M	M	3	Y	Chief Exec
◀▶	15/186 - Stronger Communities	Failure to develop and implement greater community capacity to provide sustainable local support and services, within the context of reduced government funding, including the need for services to resource the transformation resulting in further reduced services in the community, missed opportunities relating to community libraries, universal and early intervention provision for children, young people and families, school readiness, community transport and care and prevention services for older and vulnerable adults	Chief Exec	CSD AD PPC	M	L	H	M	M	2	8	31/05/2019	L	L	H	M	M	3	Y	CSD PPC HoStrC
◀▶	15/162 - Capacity and Skills	A lack of capacity and skills within Central Services leads to a significant decline in service quality &/or insufficient progress in carrying out required developments (although this risk is ranked in phase 4 as a 4, it feels more like 3 high amber, but it is not a low probability with a high impact)	Chief Exec	CSD Mgt Team	H	M	L	M	M	2	6	31/03/2019	M	M	L	M	L	4	Y	CSD Mgt Team
◀▶	15/201 - Commercial Strategy	Failure to successfully secure commercial opportunities within the Council resulting in lost net income to support budget savings, unresilient service, unskilled and insecure workforce.	Chief Exec	CSD Mgt Team	H	M	M	M	L	2	9	31/03/2019	M	M	M	M	L	4	Y	CSD Mgt Team

Risk Register: month 6 (Jan 2019) – summary

Next review due: July 2019

Report Date: 24th January 2019 (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		
	15/180 - Customer Programme	Failure to implement a Customer Programme that meets the needs and demands of our customers and supports the necessary service redesigns, achieves savings and improves performance and customer satisfaction	Chief Exec	CSD SR AD T&C	M	M	M	H	M	2	5	31/03/2019	M	M	M	M	M	4	Y	CSD SR AD T&C
	15/183 - Health & 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	5	31/07/2019	L	M	M	M	H	3	Y	CSD SR HoH SRM
	15/166 - Organisational Performance Management	Failure to align the performance management framework with budget planning and financial performance results in inefficiencies, reduction in value for money; loss of reputation and suboptimal financial savings	Chief Exec	CD SR	L	H	M	H	M	3	6	28/02/2019	L	H	M	M	M	3	Y	CD SR
	15/200 - Major Emergencies in the Community	Failure to plan, respond and recover effectively to major emergencies in the community resulting in risk to life and limb, impact on statutory responsibilities, impact on financial stability and reputation	Chief Exec	Chief Exec	L	L	H	L	H	3	6	31/03/2019	L	L	H	L	M	3	Y	Chief Exec
	15/29 - Corporate Governance and Ensuring Legality	Failure to ensure adequate Corporate Governance arrangements across the County Council to ensure that the Council acts lawfully in its operations and decision making resulting in inadequate control and stewardship; given the environment of greater risk taking and expansion of the types of activities the Council is now involved in resulting in challenge and non delivery of decisions, financial implications and loss of reputation particularly given service and statutory obligations	Chief Exec	CSD ACE LDS	M	L	M	M	M	4	10	31/07/2019	M	L	M	M	M	4	Y	CSD ACE LDS

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