

**NORTH YORKSHIRE COUNTY COUNCIL****CORPORATE & PARTNERSHIPS OVERVIEW AND SCRUTINY COMMITTEE****2 March 2020****NYCC CORPORATE RISK REGISTER****Report of the Corporate Director – Strategic Resources****1.0 PURPOSE OF THE REPORT**

- 1.1 To receive details of the updated Corporate Risk Register.

**2.0 BACKGROUND**

- 2.1 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.
- 2.2 Following the updates, the Audit Committee receive an annual report in December to review the CRR and assess the effectiveness of the Authority's risk management arrangements, and progress on the implementation of risk management throughout the Authority.

**3.0 CORPORATE RISK REGISTER**

- 3.1 An annual update of the Corporate Risk Register was carried out in November last 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.
- 3.2 Since the last report to this Committee as a mid-cycle briefing in January 2019, 2 reviews and updates of the Corporate Risk Register have been carried out. There have been changes made and particularly at the six monthly review in April last year – see attached at **Appendix A**. The updates 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 January 2019 are as follows:

**New risks**

- Schools Funding Challenges – this risk was added to the register in April as a result of the funding pressures facing schools. The ranking of the risk has reduced slightly as a result of actions to be taken, but remains ranked as 1 at the present time. This risk dovetails with the overall Funding Challenges risk for the Council.

### Deleted risks

- Schools Organisation and Funding – this risk has been retained at Directorate level, and the emphasis at corporate level is on the funding challenges for schools.

### Significantly Changed Risks

- None.....although the Committee may wish to note the following:
  - The Information Governance risk has increased its 2<sup>nd</sup> ranking to 2 from 4, as it is considered necessary to move the probability to High because breaches continue to occur.
  - The Transformation Programme risk is moving into the Beyond 2020 stage with transformational themes and business cases of Assess and Decide; Resilience and Wellbeing; Modern Council + and Infrastructure being developed.

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

### 3.4 To assist Members in interpreting **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 risk appetite and 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 RECOMMENDATIONS**

That the Committee:

- (i) considers the updated Corporate Risk Register (**Appendix A**) and determines if any further actions are required.
- (ii) notes the links between the Corporate and Directorate risk registers (**Appendix B**).

#### **GARY FIELDING**

##### **Corporate Director – Strategic Resources**

County Hall, Northallerton

March 2020

Report Author: Fiona Sowerby, Head of Insurance and Risk Management  
Tel: 01609 532400

Background papers: None

Appendices:

Appendix A – Corporate Risk Register Update  
Appendix B – Risk Register Diagram

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – summary v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

Change	Risk Title	Identity Risk Description	Person		Classification												Fallback Plan			
			Risk Owner	Risk Manager	Pre					RR		Post					FBPlan	Action Manager		
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv			Rep	Cat
◀▶	<b>20/235 - Brexit Arrangements</b>	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.	Chief Exec	All Mgt Board	H	H	H	H	M	1	24	31/01/2020	H	H	H	H	M	1	Y	Chief Exec
▲	<b>20/187 - Information Governance</b>	Ineffective information governance arrangements lead to unacceptable levels of unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to FoI requests, and inability to locate key data upon which the Council relies resulting in loss of reputation, poor decision making, fine, etc	Chief Exec	CD SR	H	M	M	M	H	1	9	31/12/2019	H	L	M	L	M	2	Y	CD SR
◀▶	<b>20/207 - Transformation Programme</b>	Failure to design and implement a coherent transformation and savings programme "Beyond 2020" which delivers the improvements and 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	31/01/2020	M	H	H	H	H	2	Y	All Mgt Board
◀▶	<b>20/1 - Funding Challenges</b>	Inadequate funding available to the County Council to discharge its statutory responsibilities and to meet public expectation for the remainder of the decade resulting in legal challenge, unbalanced budget and public dissatisfaction	Chief Exec	CD SR	H	H	H	H	H	1	9	31/01/2020	M	H	H	M	M	2	Y	All Mgt Board
◀▶	<b>20/194 - Major Failure due to Quality and/or Economic Issues in the Care Market</b>	Major failure of provider/key providers results in the Directorate being unable to meet service user needs. This could be caused by economic performance or resource capabilities including recruitment and retention. The impact could include loss of trust in the Care Market, increased budgetary implications and issues of service user safety.	Chief Exec	CD HAS	H	M	H	M	H	1	15	30/04/2020	H	M	M	M	M	2	Y	CD HAS
◀▶	<b>20/236 - Opportunities for Devolution and Growth in North Yorkshire</b>	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	Chief Exec	CD BES	H	M	H	H	H	1	13	31/03/2020	M	M	M	M	M	4	Y	CD BES Chief Exec
▼	<b>20/239 - Schools Funding Challenges</b>	Inadequate revenue and capital funding available for good quality schools, maintenance of school infrastructure and to ensure the sustainability of small rural schools; poor financial management or failure to act in a timely manner by governors/head teachers DfE impose further restrictions on LA financial freedoms, results in potential accumulated deficits. Lack of investment in special provision such as special schools results in potential increased costs.	Chief Exec	CD CYPS	H	M	M	H	H	1	10	31/12/2019	M	M	M	M	M	4	Y	CD CYPS
◀▶	<b>20/47 - Partnership and Integration with Health</b>	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	Chief Exec	CD HAS	M	M	H	M	M	2	17	31/01/2020	M	M	H	M	M	2	Y	CD HAS


# Corporate Risk Register




# Appendix A

Risk Register: **month 0 (November 2019) – summary v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

Identity			Person		Classification											Fallback Plan				
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR	Next Action	Post						FBPlan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	Prob		Obj	Fin	Serv	Rep	Cat			
		on the customer experience and the possibility of fragmented care and poor outcomes																		
	<b>20/189 - Safeguarding Arrangements</b>	Failure to have a robust Safeguarding service in place results in risk to vulnerable children, adults and families and not protecting them from harm.	Chief Exec	CD HAS CD CYPS	M	H	M	M	H	<b>2</b>	16	31/03/2020	L	H	M	M	H	<b>3</b>	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
<b>- new -</b>	New or significantly altered risk

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**  
 Next Review due: **April 2020**  
 Report Date: **19<sup>th</sup> November 2019 (pw)**

Phase 1 - Identification									
<b>Risk Number</b>	20/235	<b>Risk Title</b>	20/235 - Brexit Arrangements			<b>Risk Owner</b>	Chief Exec	<b>Manager</b>	All Mgt Board
<b>Description</b>	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.				<b>Risk Group</b>	Strategic	<b>Risk Type</b>		

## 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; regular LRF sitreps returns to MHCLG; regular sitreps from council to MHCLG (collated regionally), business continuity plans in place; review by LRF of reasonable worst case scenarios

**Workforce** - LGA submission on care sector recruitment put forward; no change in employment law; confirmation that EU citizens can work in the UK until Dec 2020 with wrap around reassurance and support for applications for settled status being provided by NYCC;

**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. Staff attending BEIS, DEFRA and MHCLG briefing sessions across the range of their statutory duties. Sharing BEIS business readiness information (<https://euexitbusiness.campaign.gov.uk/>) via social media channels.

**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; light touch enforcement for food and animal products;

**Data Protection** – Data Protection Act including GDPR; NYCC data held on UK servers

**Catering** – change menus to suit availability of food; maintain frozen food stock;

**Customer Contact Centre** – multi agency partnership working in place and embedded for major incidents including the contact centre;

**RET** – full 24 hour rota cover in place;

**Adult Social Care** – work ongoing with providers to ensure mutual support is in place;

**EU Settlement Scheme** – Registration Service support applicants without access to Android phone

<b>Probability</b>	H	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	M	<b>Category</b>	I
--------------------	---	-------------------	---	------------------	---	-----------------	---	-------------------	---	-----------------	---

## Phase 3 - Risk Reduction Actions

		<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>
<b>Reduction</b>	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	Fri-31-Jan-20	
<b>Reduction</b>	20/400 - Business support funding programmes – monitor likely changes and ensure that changes are well communicated	CD BES	Fri-31-Jan-20	
<b>Reduction</b>	20/405 - Farming support funding programmes – monitor likely changes and ensure that changes are well communicated	CD BES	Fri-31-Jan-20	
<b>Reduction</b>	20/454 - State Aid: Monitor details of future trading relationships, and understand the local implications of any guidance provided relating to State Aid. 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	Fri-31-Jan-20	

## Corporate Risk Register

## Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

<b>Reduction</b>	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	Fri-31-Jan-20	
<b>Reduction</b>	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	Fri-31-Jan-20	
<b>Reduction</b>	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. Review animal disease plans and amend as necessary.	CD BES	Fri-31-Jan-20	
<b>Reduction</b>	20/470 - Environmental Standards and Waste: 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. Work with Yorwaste on waste issues and carry out scenario planning.	CD BES	Fri-31-Jan-20	
<b>Reduction</b>	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. Monitor for EU decision to share data from the EU. Carry out changes to NYCC's privacy notice and contracts dependent on what deal is made.	CD SR	Fri-31-Jan-20	
<b>Reduction</b>	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	Fri-31-Jan-20	
<b>Reduction</b>	20/480 - Take part in engagements arranged by and with the DExEU and MHCLG through the County Councils Network, review impact on the Council and report regularly on this to Management Board.	CSD AD PPC	Fri-31-Jan-20	
<b>Reduction</b>	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	Fri-31-Jan-20	
<b>Reduction</b>	20/737 - Catering - Evaluate capacity for frozen food storage. Discuss availability of food with suppliers (HAS).	CD SR	Fri-31-Jan-20	
<b>Reduction</b>	20/738 - Customer Contact Centre - explore ability to increase capacity if needed and put plans in place	CSD SR AD T&C CSD SR CSCM	Fri-31-Jan-20	
<b>Reduction</b>	20/739 - Communications – ensure contingency plans for sufficient capacity, and plans are in place for a daily rota across the county and district councils	CSD HoC LRF Comms Group	Fri-31-Jan-20	
<b>Reduction</b>	20/740 - Human resources – ensure manager and staff cover/availability. Provide advice to WFH where appropriate (fuel shortage). Monitor potential knock on effect on workforce due to increase in wages to mitigate against EU citizens leaving	All Mgt Board	Fri-31-Jan-20	
<b>Reduction</b>	20/741 - Resources – monitor availability of fuel, ensure Ringways maintaining contractually required stocks and ideally more, and investigate potential for storage	BES AD H&T	Fri-31-Jan-20	
<b>Reduction</b>	20/742 - Adult Social Care – carry out mapping of staff/skills across the county to ensure safety of people. Monitor availability of medicines.	CD HAS	Fri-31-Jan-20	
<b>Reduction</b>	20/743 - Highways – Monitor availability and cost increase of vehicles and vehicle parts	CD BES	Fri-31-Jan-20	
<b>Reduction</b>	20/744 - BES strategic planning/heritage – obtain clarity around the loss of ESF and how its replacement will work	CD BES	Fri-31-Jan-20	
<b>Reduction</b>	20/745 - Council Wide – discuss contingency plans and ensure robustness	All Mgt Board	Fri-31-Jan-20	
<b>Reduction</b>	20/746 - Communications with Members	Chief Exec	Fri-31-Jan-20	

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

<b>Reduction</b>	20/747 - Continue to work with District Councils to gather intelligence around businesses particularly exposed to risk							Fri-31-Jan-20			
<b>Reduction</b>	20/1190 - EU Settlement Scheme – Registration Service to support applicants without access to Android phone						CSD PPC GM RA&C	Fri-31-Jan-20			
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	H	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	M	<b>Category</b>	1
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>	20/573 - Revisit and look at emergency measures that need to be put in place.								<b>Action Manager</b>	Chief Exec	



# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

Phase 1 - Identification											
<b>Risk Number</b>	20/187	<b>Risk Title</b>	20/187 - Information Governance				<b>Risk Owner</b>	Chief Exec		<b>Manager</b>	CD SR
<b>Description</b>	Ineffective information governance arrangements lead to unacceptable levels of unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to FoI requests, and inability to locate key data upon which the Council relies resulting in loss of reputation, poor decision making, fine, etc					<b>Risk Group</b>	Legislative		<b>Risk Type</b>	CS 15/161	
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Information Governance Strategy including the associated Policy and Procedure Framework; CIGG Action Plan; data breach process; messages from senior management; on-line training; staff induction; Information Asset Owners identified; information asset registers regularly updated; 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; refreshed Information Governance page on intranet; Information Governance risk register completed;								
<b>Probability</b>	H	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	I
Phase 3 - Risk Reduction Actions											
								<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>	
<b>Reduction</b>	15/423 - Continue to emphasise personal responsibility of staff for all information in this area and consider disciplinary action in cases of data breaches					CD SR CSD ACE BS		Mon-31- Aug-20			
<b>Reduction</b>	15/424 - Continue to review information asset registers and target training where appropriate (ongoing)					CSD SR AD T&C Ho Int Audit		Mon-31- Aug-20			
<b>Reduction</b>	15/426 - Continue to ensure individual information sharing agreements completed for each data sharing activity - (ongoing)					Ho Int Audit		Mon-31- Aug-20			
<b>Reduction</b>	15/431 - Continue to work within services in a prioritised order to ensure information (electronic and physical) is secure and transferred securely (ongoing)					CSD SR AD T&C		Mon-31- Aug-20			
<b>Reduction</b>	15/433 - Continue communications to staff to ensure good Information Governance including messages from Management Board and associated campaigns (ongoing)					CSD SR AD T&C Ho Int Audit		Mon-31- Aug-20			
<b>Reduction</b>	15/611 - Ensure Data Protection risks are managed to comply with GDPR (ongoing)					CSD SR AD T&C		Mon-31- Aug-20			
<b>Reduction</b>	15/612 - Data Quality Improvement - develop and implement an action plan to address the Data Quality issues that are impacting on the accuracy of operational management information, performance reports, transparency publications and statutory returns (action plan to be agreed by Sept 2019)					CSD SR AD T&C		Mon-31- Aug-20			
<b>Reduction</b>	15/613 - Documents and Record Management - develop and implement an approach to document and records management and storage with the Council that encompasses both physical and electronic information (action plan to be agreed by end of August 2019)					CSD SR AD T&C		Mon-31- Aug-20			
<b>Reduction</b>	15/844 - Carry out a corporate cyber-attack simulation exercise					CSD SR AD T&C		Tue-31- Dec-19			
Phase 4 - Post Risk Reduction Assessment											

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

Probability	H	Objectives	L	Financial	M	Services	L	Reputation	M	Category	2
<b>Phase 5 - Fallback Plan</b>											
										<b>Action Manager</b>	
<b>Fallback Plan</b>	15/514 - Review Action Plan and new technology and continue to raise awareness. Invite ICO to carry out an audit of NYCC IG systems										CD SR

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

Phase 1 - Identification											
<b>Risk Number</b>	20/207	<b>Risk Title</b>	20/207 - Transformation Programme				<b>Risk Owner</b>	Chief Exec		<b>Manager</b>	CD SR
<b>Description</b>	Failure to design and implement a coherent transformation and savings programme "Beyond 2020" which delivers the improvements and forecast funding shortfall resulting in short term and sub optimal savings decisions ie service cuts					<b>Risk Group</b>	Strategic		<b>Risk Type</b>	CS 15/11	
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			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; intensive review of areas of overspend and actions to mitigate; review (deep dives) into specific high-risk base budgets such as HAS Care and Support, SEN Transport and School Improvement carried out (2018/19); fundamental review of the organisation's design and development programme carried out (Mar2019);								
<b>Probability</b>	H	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	1
Phase 3 - Risk Reduction Actions											
<b>Reduction</b>	15/634 - Further shape the emerging Beyond 2020 Programme to lead to identifying new areas of cross cutting programmes for implementation in 2020/21 onwards					<b>Action Manager</b>	CSD SR AD T&C		<b>Action by</b>	Tue-31-Mar-20	<b>Completed</b>
<b>Reduction</b>	15/635 - Continue to carry out fundamental review of projects, reassessment of priority and agree outcomes					<b>Action Manager</b>	CD SR CSD SR AD T&C		<b>Action by</b>	Mon-31-Aug-20	<b>Completed</b>
<b>Reduction</b>	15/636 - Continue to deliver existing Programme including Directorate and cross cutting programmes					<b>Action Manager</b>	CD SR CSD SR AD T&C		<b>Action by</b>	Mon-31-Aug-20	<b>Completed</b>
<b>Reduction</b>	15/637 - Embed the BEST approach into service planning to identify yearly efficiency savings					<b>Action Manager</b>	CD SR CSD Mgt Team CSD PPC HoS&P		<b>Action by</b>	Tue-31-Mar-20	<b>Completed</b>
<b>Reduction</b>	15/639 - Continue to carry out focussed reviews on areas of overspend, poor performance and/or opportunities for improvement					<b>Action Manager</b>	CD SR CSD SR AD T&C		<b>Action by</b>	Mon-31-Aug-20	<b>Completed</b>
<b>Reduction</b>	15/831 - Continue to monitor delay of Programmes and the effect on benefits (ongoing)					<b>Action Manager</b>	CSD SR AD T&C		<b>Action by</b>	Mon-31-Aug-20	<b>Completed</b>
<b>Reduction</b>	20/52 - Refresh and carry out a revised plan for reviewing base budgets in 2019/20 on a risk based assessment and linked to focussed reviews					<b>Action Manager</b>	CD SR		<b>Action by</b>	Tue-31-Mar-20	<b>Completed</b>
<b>Reduction</b>	20/386 - Approve detailed business plans all businesses within the Brierley Group. by Shareholder Committee and Brierley Board and put in place a monitoring regime (Forward Plan) for progress					<b>Action Manager</b>	CD SR		<b>Action by</b>	Tue-31-Mar-20	<b>Completed</b>
<b>Reduction</b>	20/403 - Carry out monthly monitoring of communications and engagement plan including key messages and themes (ongoing)					<b>Action Manager</b>	CSD HoC		<b>Action by</b>	Mon-31-Aug-20	<b>Completed</b>
<b>Reduction</b>	20/491 - Identify and target additional savings through corporate Procurement Strategy (ongoing)					<b>Action Manager</b>	CD SR		<b>Action by</b>	Wed-30-Sep-20	<b>Completed</b>
<b>Reduction</b>	20/526 - Continue to develop effective Commercial operations (ongoing)					<b>Action Manager</b>	All Mgt Board Chief Exec		<b>Action by</b>	Mon-31-Aug-20	<b>Completed</b>

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

<b>Reduction</b>	20/551 - Develop and implement an action plan to change the identified approach and activities across a range of areas, notably staff engagement, following the fundamental review of the organisation's design and development programme	CSD ACE BS	Tue-31-Mar-20								
<b>Reduction</b>	20/595 - Develop transformational themes and produce outline business cases for Assess and Decide; Resilience and Wellbeing; Modern Council +; Environment	All Mgt Board	Tue-31-Mar-20								
<b>Reduction</b>	20/599 - Produce and launch a strategic narrative for the Beyond 2020 Programme.	Chief Exec	Fri-31-Jan-20								
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	M	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	2
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>	15/561 - Carry out service cuts									<b>Action Manager</b>	
										All Mgt Board	

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

Phase 1 - Identification											
<b>Risk Number</b>	20/1	<b>Risk Title</b>	20/1 - Funding Challenges				<b>Risk Owner</b>	Chief Exec		<b>Manager</b>	CD SR
<b>Description</b>	Inadequate funding available to the County Council to discharge its statutory responsibilities and to meet public expectation for the remainder of the decade resulting in legal challenge, unbalanced budget and public dissatisfaction					<b>Risk Group</b>	Resources		<b>Risk Type</b>		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			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; initial review of the impact of the 1 year spending round (linked to action20/617);								
<b>Probability</b>	H	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	1
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	15/638 - Deliver against areas identified as housekeeping (negative RSG, fairer funding review, fees and charges, business rates) Continue to feed in to the fairer funding review and make the case for additional funding as part of the Spending Review					CSD SR AD T&C		Tue-31-Mar-20			
<b>Reduction</b>	20/46 - Ensure effective consultation/communication with staff, public and Members about ongoing savings requirements					All Mgt Board		Fri-31-Jan-20			
<b>Reduction</b>	20/402 - Review arrangements relating to time limited additional social care funding					CD HAS CD SR		Fri-31-Jan-20			
<b>Reduction</b>	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		Fri-31-Jan-20			
<b>Reduction</b>	20/617 - Continue to lobby MPs and Govt for additional funding particularly in relation to adults and children's social care, High Needs, Schools Capital and rural costs (ongoing)					CD HAS CD SR		Tue-31-Mar-20			
<b>Reduction</b>	20/618 - Implement Beyond 2020 Change Programme to address ongoing savings for the new MTFS.					All Mgt Board		Fri-28-Feb-20			
<b>Reduction</b>	20/728 - Communicate and consult with the public to ensure understanding of financial position and consequences					CD SR		Tue-31-Mar-20			
<b>Reduction</b>	20/750 - Ensure regular monitoring at management board and CYPS Overview and scrutiny committee of financial challenges for schools to highlight the present financial position to ensure immediate and emerging challenges are addressed. (ongoing)					CD CYPS CSD AD SR (HE)		Fri-31-Jul-20			
<b>Reduction</b>	20/751 - Identify and implement potential efficiencies as part of the strategic plan for high needs (ongoing)					CSD AD SR (HE) CYPS AD Incl		Wed-30-Sep-20			
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	M	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	M	<b>Category</b>	2
Phase 5 - Fallback Plan											
									<b>Action Manager</b>		
<b>Fallback Plan</b>	20/504 - Further fundamental review in order to discharge statutory responsibilities								All Mgt Board		

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**  
 Next Review due: **April 2020**  
 Report Date: **19<sup>th</sup> November 2019 (pw)**

Phase 1 - Identification											
<b>Risk Number</b>	20/194	<b>Risk Title</b>	20/194 - Major Failure due to Quality and/or Economic Issues in the Care Market				<b>Risk Owner</b>	Chief Exec	<b>Manager</b>	CD HAS	
<b>Description</b>	Major failure of provider/key providers results in the Directorate being unable to meet service user needs. This could be caused by economic performance or resource capabilities including recruitment and retention. The impact could include loss of trust in the Care Market, increased budgetary implications and issues of service user safety.					<b>Risk Group</b>	Legislative	<b>Risk Type</b>	HAS Dir 3/162		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Regular review and monitoring contracts; standard contract terms; approvals process; regular meetings to share best practice; experienced staff; regular communication with providers; bulletins; customer feedback; Engagement Group; legal services; CQC; Financial Services & insurance consultation; 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; Recruitment Hub implemented, Learning4Care training delivery for independent sector providers; recommendations from the actual cost of care exercise implemented; QI team in place; funding for market improvement team agreed through BCF;								
<b>Probability</b>	H	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	I
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	20/468 - Continue to revise and update a market position statement; this is now an online statement with different aspects being updated as and when required					HAS AD C&Q		Tue-30-Jun-20			
<b>Reduction</b>	20/469 - Jointly with Health continue to monitor baseline assessments QA framework and risk profiles of providers; targets are reviewed at quarterly officer meetings and info fed into engagement group; pursue opportunities for joint working between HAS and NHS with plans in place for health brokerage (brokerage pilots in place)					HAS AD C&Q		Tue-30-Jun-20			
<b>Reduction</b>	20/471 - Continue with regular engagement meetings with CQC locally and engage with CQCs national programme of identifying providers where there is significant risk of failure					HAS AD C&Q		Tue-30-Jun-20			
<b>Reduction</b>	20/473 - Continue to engage in ADASS work to manage major problems occurring, such as financial issues in the care provider market and ensure robust contingency planning and to learn lessons from serious case reviews at a national level; more work being done to enhance regional ways of working; this continues, working through any remaining data sharing issues with Data Governance					HAS AD C&Q		Tue-30-Jun-20			
<b>Reduction</b>	20/474 - Work with Veritau on audits of individual suppliers (ongoing)					HAS AD C&Q		Tue-30-Jun-20			
<b>Reduction</b>	20/486 - Implement action plan following outcome of state of the market exercise and ensure inclusion of NHS and Partners - ongoing (Make Care Matter; IBCF monies used for Recruitment Hub and Learning4Care) and regularly report to ISPB					HAS HoHR		Wed-30-Sep-20			
<b>Reduction</b>	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		Thu-30-Apr-20			
<b>Reduction</b>	20/523 - 2020 Market shaping/development around micro enterprises					HAS AD C&Q		Mon-30-Sep-19	Mon-30-Sep-19		
<b>Reduction</b>	20/538 - Developing a quality pathway, revising processes and procedure and incorporating best practice adopting a risk based / predictive approach					HAS C&Q Ho Q&M		Thu-30-Apr-20			
<b>Reduction</b>	20/539 - Rewriting policies with input from Veritau					HAS C&Q Ho Q&M		Tue-30-Jun-20			

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

<b>Reduction</b>	20/540 - Ensure clarity around commissioning intentions using place based intelligence	HAS AD C&Q	Tue-30-Jun-20									
<b>Reduction</b>	20/541 - Work with ICG to ensure provider BCPs are in place (complete) and evidence of testing can be provided	HAS AD C&Q	Tue-30-Jun-20									
<b>Reduction</b>	20/542 - Consideration of market interventions, including development of a provider arm or a proposal to bring organisations together	HAS AD C&Q	Wed-30-Sep-20									
<b>Reduction</b>	20/1188 - Monitor issues caused by the complex partner relationships, meetings and structures and raise at HASLT where appropriate - ongoing	HAS AD C&Q	Tue-30-Jun-20									
<b>Reduction</b>	20/1197 - Begin the preparation for next Actual Cost of Care exercise and then develop revised commissioning model to help address affordability issues; started the process, Health & Social Care systems approach	HAS AD C&Q	Mon-30-Sep-19	Mon-30-Sep-19								
<b>Phase 4 - Post Risk Reduction Assessment</b>												
<b>Probability</b>	H	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	M	<b>Category</b>	2	
<b>Phase 5 - Fallback Plan</b>												
<b>Fallback Plan</b>	20/548 - Make client safe, crisis meeting, implement relevant steps, consultation with senior staff and relevant organisations (e.g. Police CQC). Effective communication to relevant parties, utilise established failure plan.										<b>Action Manager</b>	CD HAS

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

Phase 1 - Identification											
<b>Risk Number</b>	20/236	<b>Risk Title</b>	20/236 - Opportunities for Devolution and Growth in North Yorkshire				<b>Risk Owner</b>	Chief Exec	<b>Manager</b>	CD BES	
<b>Description</b>	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					<b>Risk Group</b>	Strategic	<b>Risk Type</b>	BES 7/174		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			<p><b>Devolution</b> - proposals submitted to Govt., LEP strategic economic plan in place; NYCC retains the Infrastructure Delivery Steering Group; NYCC wide co-ordination of development needs linked to District plans; local authorities are moving towards a joint committee &amp; considering a combined authority; LA Director group in place; plan detailing powers and funding developed; consensus of Yorkshire local authorities on Devolution geography and opportunities;</p> <p><b>Growth</b> - Direct contribution and support, including through provision of accountable body function, to the YNYER Local Enterprise Partnership; maintenance of an Economic Growth Function within BES; Proactive engagement in LGNY Y partnership working including through Directors of Development, Chief Housing Officers, Heads of Planning and Economic Development Officer Groups; Lead role in enabling and further developing YNYERH Spatial Framework; Lead role in supporting and developing the NYCC Growth Plan Steering Group and sub-ordinate arrangements; Lead role in initiating and developing the NYCC Economic Growth Plan and annual Delivery Framework (endorsed by Executive); Work to monitor and support opportunities to secure alternative governance arrangements including a Devolution deal with Government; collaborative working arrangements with District Councils in place</p>								
<b>Probability</b>	H	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	I
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>			
<b>Reduction</b>	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	Fri-31-Jul-20				
<b>Reduction</b>	20/364 - Devolution - Gain political support both locally and nationally (ongoing)					Chief Exec	Fri-31-Jul-20				
<b>Reduction</b>	20/549 - Growth - Carry out an annual review of progress of the NYCC Economic Growth and Delivery Plan and Action Plan (ongoing) (Need to work towards a new NYCC Economic Growth and Delivery Plan being in place by 31 Mar 20)					BES AD GP&TSBES GP&TS HoSP&EG	Tue-31-Mar-20				
<b>Reduction</b>	20/550 - Growth - Embed enhanced collaborative working arrangements with District Councils (annual review of progress) - ongoing					BES AD GP&TS	Fri-31-Jul-20				
<b>Reduction</b>	20/552 - Growth - Maintain good working relationship with the LEP (ongoing)					CD BES	Fri-31-Jul-20				
<b>Reduction</b>	20/553 - Growth - Understand and investigate any impacts of Brexit and ensure opportunities are taken					BES AD EPUCD BES	Tue-31-Mar-20				
<b>Reduction</b>	20/597 - Growth - Complete YNYERH Spatial Framework SDZ Long Term Development Statements to enable effective long-term planning and investment of infrastructure for growth; approval by LGNY Y Board / Leaders for publication and open release of the framework					BES AD GP&TS	Fri-31-Jul-20				



# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

<b>Reduction</b>	20/598 - Growth - Deliver strategic natural capital investment via the Local Nature Partnership (LEP/LNP lead); Taking forward phase 2 implementation options with partners (Local Authorities, DEFRA, Universities, Business) with link to 25 Year Environment plan and government policy changes (planning net gain, agriculture ELMs, Local Industrial Strategy & Natural Capital plans).	BES AD GP&TS	Tue-31-Mar-20								
<b>Reduction</b>	20/723 - Devolution - Develop a York/North Yorkshire proposition including a combined authority, in response to Govt. continuing to reject One Yorkshire	Chief Exec	Tue-31-Mar-20								
<b>Reduction</b>	20/725 - Devolution - Carry out consultation on a York/North Yorkshire proposition and following approval, submit to Parliament and obtain relevant Powers.	Chief Exec	Wed-31-Mar-21								
<b>Reduction</b>	20/916 - Devolution - Establish the geography on which to secure Devolution (consensus of Yorkshire local authorities achieved, support from Govt Minister required)	Chief Exec	Fri-31-Jul-20								
<b>Reduction</b>	20/917 - Devolution - Develop detailed business cases for different geographies	Chief Exec	Fri-31-Jul-20								
<b>Reduction</b>	20/1397 - Devolution - Negotiate the economic barriers and opportunities which Devolution can take advantage of with Government including interim devolution deals (consensus of Yorkshire local authorities achieved, support from Govt Minister required)	CD BES	Fri-31-Jul-20								
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	M	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	M	<b>Category</b>	4
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>	20/572 - Consider a North Yorkshire deal and review and revise existing arrangements for sustainable economic growth									<b>Action Manager</b>	
										CD BES Chief Exec	

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**  
 Next Review due: **April 2020**  
 Report Date: **19<sup>th</sup> November 2019 (pw)**

Phase 1 - Identification											
<b>Risk Number</b>	20/239	<b>Risk Title</b>	20/239 - Schools Funding Challenges				<b>Risk Owner</b>	Chief Exec	<b>Manager</b>	CD CYPs	
<b>Description</b>	Inadequate revenue and capital funding available for good quality schools, maintenance of school infrastructure and to ensure the sustainability of small rural schools; poor financial management or failure to act in a timely manner by governors/head teachers DfE impose further restrictions on LA financial freedoms, results in potential accumulated deficits. Lack of investment in special provision such as special schools results in potential increased costs.					<b>Risk Group</b>	Resources	<b>Risk Type</b>			
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Support challenge and intervention framework in place; survey of all schools to benchmark their position on issues such as staff reduction, increased class sizes and commercial activities; licence to deficits; recovery plans, financial benchmarking; primary and secondary finance conferences; individual discussions with schools; Schools Forum engagement; governor briefings; Lobbying of Govt and MPs regarding schools' financial position carried out;								
<b>Probability</b>	H	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	1
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	20/750 - Ensure regular monitoring at management board and CYPs Overview and scrutiny committee of financial challenges for schools to highlight the present financial position to ensure immediate and emerging challenges are addressed. (ongoing)					CD CYPs CSD AD SR (HE)	Fri-31-Jul-20				
<b>Reduction</b>	20/752 - Implement a support challenge and intervention framework to assist/instruct schools to take measures to address their financial position.					CSD AD SR (HE)	Tue-31-Mar-20				
<b>Reduction</b>	20/753 - Continue to lobby Ministers, local MP and through F40 Group (ongoing)					CD CYPs	Fri-31-Jul-20				
<b>Reduction</b>	20/754 - Carry out press release and lobby Govt and MPs following outcome of survey benchmarking of schools positions					CD CYPs	Sun-30-Jun-19	Sun-30-Jun-19			
<b>Reduction</b>	20/755 - Deploy finance staff into schools with the biggest financial challenges to undertake financial consultancy to ensure schools balance their budget within 3 years.					CSD AD SR (HE)	Wed-30-Sep-20				
<b>Reduction</b>	20/756 - Develop and implement an approach to integrated curriculum and financial planning and support and encourage collaboration and federation					CSD AD SR (HE)	Wed-30-Sep-20				
<b>Reduction</b>	20/757 - Develop a business case for special provision across the County to ensure value for money					CSD AD SR (HE) CYPs AD Incl	Tue-31-Mar-20				
<b>Reduction</b>	20/759 - Implement outcome of review of special provision					CSD AD SR (HE) CYPs AD Incl	Wed-31-Mar-21				
<b>Reduction</b>	20/1166 - Present outcome of schools survey benchmarking at Schools Forum (completed Sept 2019) and encourage a larger take-up for a further regional survey in order to provide 'real' information to Government					CSD AD SR (HE)	Tue-31-Dec-19				
<b>Reduction</b>	20/1189 - Define and secure appropriately experienced resources to provide a support and challenge function for schools and academies					CSD AD SR (HE)	Wed-30-Sep-20				
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	M	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	M	<b>Category</b>	4

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

<b>Phase 5 - Fallback Plan</b>		<b>Action Manager</b>
<b>Fallback Plan</b>	20/574 - Further fundamental review to ensure control of accumulated deficits	CD CYP5

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

Phase 1 - Identification											
<b>Risk Number</b>	20/47	<b>Risk Title</b>	20/47 - Partnership and Integration with Health				<b>Risk Owner</b>	Chief Exec	<b>Manager</b>	CD HAS	
<b>Description</b>	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					<b>Risk Group</b>	Partnerships	<b>Risk Type</b>	CYPS 24/221 HAS 3/180		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			<p><b>HAS:</b> Effective HWB partnership with clear reviewed and revised - governance providing strategic leadership regarding H&amp;W across the County; chief Officer representation influencing the development of STP/ICs; 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 developed with CCGs and agreed at Health and Wellbeing Board; 2020 Health Programme focussing on integration established; York and North Yorkshire SLE in place with a work programme of 10 priorities; joint commissioning boards for HRW and Scarborough in place (but in abeyance pending re-organisation of NY CCGs);</p> <p><b>CYPS:</b> H&amp;W Board; CYPLT; Management Board; CYPS Plan; Health and Well-being Strategy; JSNA; services commissioned for 0-5 and 5 -19 Healthy Child Programme to ensure close alignment with CYPS Services; Childhood Futures governance arrangements in place;</p>								
<b>Probability</b>	M	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	M	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
<b>Reduction</b>	20/60 - Ensure that we account for the BCF and IBCF funding as per the Regulations on a quarterly basis					<b>Action Manager</b>	CSD AD SR (AH)	<b>Action by</b>	Tue-31-Mar-20	<b>Completed</b>	
<b>Reduction</b>	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)					<b>Action Manager</b>	CD HAS	<b>Action by</b>	Tue-30-Jun-20	<b>Completed</b>	
<b>Reduction</b>	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)					<b>Action Manager</b>	CD HAS	<b>Action by</b>	Tue-30-Jun-20	<b>Completed</b>	
<b>Reduction</b>	20/399 - Develop proposals to align to the emerging new Primary Care Networks which will be established.					<b>Action Manager</b>	HAS AD HI	<b>Action by</b>	Thu-30-Apr-20	<b>Completed</b>	
<b>Reduction</b>	20/402 - Review arrangements relating to time limited additional social care funding					<b>Action Manager</b>	CD HA SCD SR	<b>Action by</b>	Fri-31-Jan-20	<b>Completed</b>	
<b>Reduction</b>	20/451 - Agree and implement Harrogate and Rural Alliance (Sept 2019) integration of community health and social care services and also further new models of care when emerging new Primary Care Networks are established					<b>Action Manager</b>	CD HAS	<b>Action by</b>	Tue-31-Mar-20	<b>Completed</b>	
<b>Reduction</b>	20/452 - Engage wider HASLT in testing the implications of different integration models (ongoing)					<b>Action Manager</b>	HAS AD C&Q HAS AD HI	<b>Action by</b>	Tue-30-Jun-20	<b>Completed</b>	
<b>Reduction</b>	20/457 - Improve the DToC (Delayed Transfer of Care) performance to avoid financial penalties and reputational issues. Implement the work programme of the Transfers of Care Board. – HI overview with C&S delivery, continued progress on the social care element but still reliant on the NHS areas					<b>Action Manager</b>	HAS AD C&Q HAS AD C&S	<b>Action by</b>	Tue-30-Jun-20	<b>Completed</b>	
<b>Reduction</b>	20/458 - Consider MoUs for STP / ICS across the County that explicitly define the Council's involvement and engagement in these arrangements					<b>Action Manager</b>	CSD AD SR (AH) HAS AD HI	<b>Action by</b>	Tue-30-Jun-20	<b>Completed</b>	
<b>Reduction</b>	20/477 - Ensure Healthy Child team and CYPS services collaborate effectively and at the earliest stage to prevent family and education breakdown and to delivering improved outcomes of Children, Young People and Families (ongoing)					<b>Action Manager</b>	CYPS C&F HoEP (PiP)	<b>Action by</b>	Wed-30-Sep-20	<b>Completed</b>	

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

<b>Reduction</b>	20/481 - Continue to contribute to the delivery of the workplan for the Health and Well-being Board in relation to children's health priorities and ensure strategic decision making in Health is influenced through alignment with the JSNA and the Children and Young People's Plan (ongoing)	CD CYPs	Wed-30-Sep-20								
<b>Reduction</b>	20/528 - Ensure employment of an 'Invest to Save' post for joint commissioning between Health and the Local Authority in terms of meeting the needs of children with SEND	CSD AD SR (AH) CYPs AD Incl	Tue-31-Mar-20								
<b>Reduction</b>	20/565 - Actively work with Partners on a new way for the health system to work in North Yorkshire	HAS AD HI	Tue-31-Mar-20								
<b>Reduction</b>	20/724 - Ensure full participation across Health and the Local Authority in the Childhood Futures Programme	CYPs Comm Mgr Health	Wed-30-Sep-20								
<b>Reduction</b>	20/733 - Manage relationships at Trust and CCG level as a result of leadership changes (ongoing)	CD HAS	Tue-31-Mar-20								
<b>Reduction</b>	20/735 - Discuss with Health Partners how to re-establish fair and effective partnership working in relation to Continuing Healthcare	CSD AD SR (AH) HAS AD C&S (Prov.)	Mon-31-Aug-20								
<b>Reduction</b>	20/748 - Carry out a post implementation review of HARA	HAS AD HI	Tue-30-Jun-20								
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	M	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	M	<b>Category</b>	2
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>	20/210 - Escalation to CMB and Executive Members, further engagement with senior tiers in NHS locally, regionally and nationally.									<b>Action Manager</b>	CD HAS

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

Phase 1 - Identification											
<b>Risk Number</b>	20/189	<b>Risk Title</b>	20/189 - Safeguarding Arrangements				<b>Risk Owner</b>	Chief Exec		<b>Manager</b>	CD HAS CD CYPs
<b>Description</b>	Failure to have a robust Safeguarding service in place results in risk to vulnerable children, adults and families and not protecting them from harm.					<b>Risk Group</b>	Safeguarding		<b>Risk Type</b>	CYPs 24/250 HAS 3/27	
Phase 2 - Current Assessment											
Current Control Measures											
<p><b>CYPs</b> – 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><b>HAS</b> - 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&amp;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; recommendations from the commissioned independent review of safeguarding practice taken into consideration as part of the preparations for the implementation of the latest policy and procedures; local arrangements with Children's Safeguarding Board and Community Safety Partnerships reviewed; training for in house provider; new safeguarding policies and procedures implemented;</p>											
<b>Probability</b>	M	<b>Objectives</b>	H	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>			
<b>Reduction</b>	20/374 - Ensure compliance with Safeguarding Board and Children and Families' procedures [CYPs]					CYPs AD C&F		Fri-31-Jul-20			
<b>Reduction</b>	20/376 - Continue the work with the MAST to strengthen responses to children and young people who are vulnerable to CSE and CCE by improved intelligence and information sharing arrangements [CYPs]					CYPs C&F HoS		Fri-31-Jul-20			
<b>Reduction</b>	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		Fri-31-Jul-20			
<b>Reduction</b>	20/382 - Continue to feed into review of EDT arrangements (adult lead) as required [CYPs]					CYPs AD C&F		Fri-31-Jul-20			
<b>Reduction</b>	20/384 - Continuation of 'Practice Weeks' where managers will visit locations to observe and review practice; Progress: These are now in place and in order to make these stronger the teams will need to be involved in the planning to make these more effective, however the feedback is positive. [CYPs]					CYPs AD C&F		Fri-31-Jul-20			
<b>Reduction</b>	20/385 - Use and further development of performance dashboards to support individual managers [CYPs]					CYPs C&F HoS		Fri-31-Jul-20			
<b>Reduction</b>	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 HI		Tue-31-Mar-20			
<b>Reduction</b>	20/487 - Continue to work with Commissioning and Quality 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 (Asmt.) HAS AD HI		Tue-30-Jun-20			
<b>Reduction</b>	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 (Asmt.)		Tue-31-Mar-20			

# Corporate Risk Register

# Appendix A

Risk Register: **month 0 (November 2019) – detailed v2**

Next Review due: **April 2020**

Report Date: **19<sup>th</sup> November 2019 (pw)**

<b>Reduction</b>	20/534 - Continue to carry out the supervisory body role for DoLS to ensure the system is as effective as possible within existing resources and prepare for Liberty Protection Safeguarding Bill, details expected Jan 2020 and will become law by June 2020 (linked to action 20/615) [HAS]	HAS AD HI	Tue-30-Jun-20	
<b>Reduction</b>	20/535 - Continue to ensure Partners are fully engaged with Safeguarding Boards centrally and locally, particularly new health partners (CCGs). [HAS]	HAS AD C&S (Asmt.) HAS AD HI	Tue-30-Jun-20	
<b>Reduction</b>	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 (Asmt.)	Tue-30-Jun-20	
<b>Reduction</b>	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 (Asmt.)	Tue-30-Jun-20	
<b>Reduction</b>	20/615 - Continue with scoping work in preparation of implementing the Law Commission proposals (linked to action 20/534) [HAS]	HAS AD C&S (Prov.) HAS AD HI	Thu-30-Apr-20	
<b>Reduction</b>	20/726 - Implement the new safeguarding policies and procedures (internal SG board is leading to ensure operational guidance is in place) [HAS]	HAS AD HI	Thu-31-Oct-19	Mon-30-Sep-19
<b>Reduction</b>	20/736 - Consider whether new procedures could be established to give a more proportionate response to notifications [HAS]	HAS AD C&S (Prov.)	Thu-31-Oct-19	Mon-30-Sep-19

## Phase 4 - Post Risk Reduction Assessment

<b>Probability</b>	L	<b>Objectives</b>	H	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	3
--------------------	---	-------------------	---	------------------	---	-----------------	---	-------------------	---	-----------------	---

## Phase 5 - Fallback Plan

											<b>Action Manager</b>
<b>Fallback Plan</b>	20/545 - 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 2019

